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ABSTRACT

This resource notebook, one of three developed within the framework of management review and analysis self-study procedures, focuses on improvement of library organization. The introduction provides background and a review of analytical methods. The first section provides examples of data gathering tools and approaches to gathering information. The second group of documents illustrates methods of describing and analyzing library organizational structures and relationships, and the final section contains examples of recommendations for change and improvement which have been made by libraries. A selected bibliography is included. (Author/RAA)

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Duane E. Webster

resource notebook on organization

Series Editor:
Maxine K. Sitts

OMS
Office of Management Studies
Association of Research Libraries
Washington, D.C.
January 1979

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TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

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PREFACE

Resource Notebooks serve as tools to assist academic and research libraries in analyzing organizational problems and determining ways to resolve concerns. Three prototype notebooks on Staff Development, Organization, and Planning have been developed and designed by the Office of Management Studies (OMS), Association of Research Libraries, during 1978. Each notebook focuses on the study of one particular area of library operation or management, using a framework based upon the comprehensive self-study procedures of the Management Review and Analysis Program (MRAP) Manual.*

The notebooks are organized compilations of documents selected from MRAP and other management studies, committee work, surveys and diagnostic aids developed by the OMS, and library procedural and planning manuals. Documents chosen for inclusion are examples of how several libraries have approached self-study: They are intended to serve as springboards for other libraries to develop their own approaches.

ORGANIZATION NOTEBOOK FORMAT

This Resource Notebook includes four basic sections. An introduction provides background and a review of methods of analyzing library organizations. The first section of documents provides examples of data gathering tools and approaches to gathering information. The second group of documents illustrates methods of describing and analyzing library organizational structures and relationships, and the final section contains examples of recommendations for change and improvement which have been made by libraries. A selected bibliography is included. The looseleaf format enables readers to insert updates or their own materials, to delete outdated material, and to remove pages for copying.

A NOTE ABOUT STUDY PROCEDURE

The examination of management concerns is best done within a systematic procedure that relates causal problems in one area with symptomatic

*Duane E. Webster, Library Management Review and Analysis Program: A Handbook for Guiding Change and Improvement in Research Library Management. Manual. Washington, D.C., 1973. Available to Program participants.

problems in another area (e.g., low morale may be a result of supervisory practices, organizational structure, or staff development programs). Libraries undertaking a study of a single issue should make some effort to acquaint themselves with the inter-relationships that exist among various management functions.

The notebook does not suggest a universal process for studying organization in all academic libraries. The OMS can provide such assistance through various self-study programs that are generally available to interested libraries. Within such a program, a library can study individual issues as an administrative assignment, a committee activity, or a special project for an individual scholar.

* *

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TABLE OF CONTENTS

	Page
PREFACE	i
INTRODUCTION	
Methods of Analyzing Library Organizations	3
SECTION ONE: ORGANIZATIONAL DATA GATHERING TOOLS AND TECHNIQUES	
Introduction	6
Areas of Consideration for Organization Task Force, University of Rochester	9
Alternative Data Gathering Tools and Techniques, An OMS Document	10
Unit Descriptions -- Serials and Documents Acquisitions Section, Social Work Library, Columbia University	12
Interview Guides, Management Review and Analysis Program Manual	17
Strategy for Development of an Organizational Profile for the Management Review and Analysis Program and Organizational Profile Questionnaire, An OMS Document	23
Surveys from MRAP Task Force on Organization to Department Heads and Library Staff, The University of Rochester	39
Survey on Organization, Washington State University	42
SECTION TWO: DESCRIPTION AND ANALYSIS OF LIBRARY ORGANIZATIONAL STRUCTURES AND RELATIONSHIPS	
Introduction	44
Organization Charts	
Columbia University	46
University of Massachusetts	47
Iowa State University	48
University of California at San Diego	49
University of Pittsburgh	50
Yale University	51

TABLE OF CONTENTS - CONTINUED

	Page
Description and Analysis of Organizational Situations/ Functions	
Report on Organizations, University of Rochester	52
Final Report of Task Force on Organization and Staffing, Massachusetts Institute of Technology	70
The Library Organization and Branch, Departmental, and Professional School Libraries, University of Connecticut	83
Organization, Washington State University Library	90
Organization, Smithsonian Institution	100
SECTION THREE: RECOMMENDATIONS FOR CHANGE AND IMPROVEMENT IN LIBRARY ORGANIZATIONS	
Introduction	109
Recommended Plan of Organization, Columbia University	110
Organization Committee Report, Johns Hopkins University	133
Rationale for Recommendations and Recommendations, University of Washington	138
SELECTED BIBLIOGRAPHY ON ORGANIZATION	147

INTRODUCTION

Two fundamental questions confront every academic library manager seeking to improve organizational structure and relationships. First, how should the work and resources be divided (i.e., what is a workable structure for the organization) and second, once this division is secured, what are the best ways for coordinating these efforts in an effective fashion.

There are at least three basic ways to approach academic library structures: functional distribution of responsibilities; organization by product, process, or project; or distribution of responsibilities based on geographic or subject area. In practice most libraries use a combination of forms since each structure is good for some things but no one structure is good for all things.

In the functional organization for instance, there is division of labor, budgets and work responsibilities, all on the basis of special competence. The functional organization emphasizes grouping of activities related to a particular activity such as reader services, technical services, reference, cataloging, or acquisitions. The principal advantage of a functional organization is that the emphasis is on performance of a particular activity. Thus, it is possible to get in-depth competence focused on that function, and to bring together an array of specialists who can work with each other and can in fact specialize in the particular functional area. This results in rather stable, predictable execution of that function. The drawbacks to this form of organization are that it promotes interdepartmental conflict, that few members of the unit will have a good overall picture of the library organization resulting in major decisions being pushed to the top of the organization, and that it is difficult to shift or to accommodate new directions and projects. A serious consequence of these factors is that it is difficult to introduce change within a functional form of organization.

A second organizational form centers around a particular process, service or problem. In libraries there is an increasing incidence of special organizational forms that focus on the delivery of services such as machine based information services or bibliographic instruction. These services may use staff that have formal responsibility elsewhere in the organization, resulting in multiple reporting relationships. There are also examples of temporary organizational forms being created to complete projects such as planning on closing the catalog, conducting a management study, or reviewing and analyzing the library's collections. In this form of organization people do multiple tasks and integrate skills around a particular output. In this mode, coordination with different parts of the organization is essential, and a fair amount of power and influence can go to those who are able to produce or deliver a product or service effectively. The strengths of this approach are that it promotes team work, encourages coordination around a particular output, and allows people to

develop a variety of skills including interpersonal skills. The principal advantage, however, is the emphasis on completion of a particular service to users or a particular product that is visible and valuable. A drawback to this form of organization is that in-depth subject competence may not be encouraged, making it harder to attract specialists. In addition, internal priorities in the functional areas sometimes conflict with the service or project. And in certain instances involvement of staff in organizational studies can be time consuming and expensive. Organizational focus on completing a product or delivering a service also requires technical or interpersonal skills that frequently are not readily available in library organizations. And finally, this form of organization requires multiple working and reporting relationships which are an unfamiliar pattern of operation.

A third form of organizational structure in libraries is a geographic or subject branch form. In these settings, service facilities are established to meet on a decentralized basis the particular needs of a college, of a professional school, or of a distinct group of faculty within the university. In this type of organizational form, the services offered may range from a very minimal type of available book collection service to a complete range of bibliographic reference, curriculum planning, and in-depth professional assistance. An advantage of this form of organization is that it provides personal and rather individualized service to faculty, which results in a strong relationship between library and faculty. Furthermore, recent advancements in computer technology allow for decentralized bibliographic access, centralized circulation and delivery services, and coordinated collection development. A disadvantage can be the expense of operation and a duplication of resources that might be available elsewhere on campus. Duplication of effort may be costly, particularly when it is compounded by poor use of highly skilled professional staff who are forced to manage clerical and routine duties in addition to service responsibilities.

It is clear that organizational design depends upon the nature of the work and the capabilities of the staff. In those situations where the work is product-oriented, such as in technical services, the best approach is to organize around the work flow in a fashion that allows development of quantitative measures of productivity and an emphasis on completing specific products in a timely, cost efficient fashion. In situations where collections and bibliographic tools are the cornerstone of services, these collections and tools must be organized and staffed to allow convenient user access, which suggests geographic groupings. Where collection development and instructional services require dynamic professional attention, a structure should allow maximum flexibility and individual initiative independent of facilities and technical restraints.

Once a workable division of work is established, consideration of coordinating and integrating the various activities in pursuit of organizational goals becomes paramount. Three techniques are commonly employed by libraries: staff meetings, committee or task force work, and rotation of staff. All of these efforts are intended to improve the flow of information among

various units and to broaden the staff appreciation of the problems, needs and interests of various parts of the organization.

The approach taken to dividing and coordinating library functions can greatly influence organizational performance. While there may be no perfect design, the organizational structure has an extensive impact on people and the library's service priorities. Organizational design requires systematic study and fresh thinking. Any work on structure must start with objectives in terms of a clear understanding of the reason for the library and the distinctive contributions it expects to make in the future. Sound organizational structure needs both a hierarchical structure of authority, decision-making, and accountability and the flexibility to organize temporary groups or individuals for work on projects or problems of temporary concern.

METHODS OF ANALYZING LIBRARY ORGANIZATIONS

Many organizational studies start with the assumption that total reorganization is a good and necessary first step in resolving the problems of the library. In practice, total reorganization rarely achieves expectations and instead can create a host of staff morale and operation problems. For example, there is research indicating that reorganization is a major stress-inducing event for staff. A more effective first step for many libraries is a review and analysis of the organization that may result in selective organizational changes. Over a longer time frame, a reorganizational study may be a valuable second step.

A review and analysis of a library organization begins by looking at the relationship between the library organization and its environment and the philosophy of top management prior to an examination of internal structures. Furthermore, an understanding of organizational performance must take into account the effect of organizational structure on staff attitudes, values, norms and morale.

An examination of the relationship between the library and university can look at reporting procedures, the nature of accountability of the library to university personnel, and the institutional decision-making process. Fundamental to the review is determining the level of influence of library staff in university planning, curriculum development, policy making, and determination of institutional priorities. Where the library director possesses high visibility and is accorded the status of dean or vice president, the role and contribution of the library can be more effective.

When considering management philosophy or style, the library can look at its key administrators' views of the purpose and value of the organization and their assumptions about the character and nature of staff. These views have an extraordinary impact on the organizational structure and the operation of the

library. The administrators' concept of their principal role in handling problems, developing subordinates, making decisions, enforcing policies, building team work, and directing people will have a considerable impact on the way they organize a library, relate to people, and establish goals and objectives. For example, if the management approach is characterized as an authoritarian command and obey process, an organization becomes principally a study of definition and assignment of authority. On the other hand, if the administration is viewed as a process of setting targets with an emphasis on negoatiation and participation, then the study of organization becomes a study of how work is identified and divided, how responsibility and accountability are allocated, and how individual goals are related to organizational goals with commitment to excellence.

As noted earlier, a central factor in studying organizations is the internal structure of the library, which is often presented with an organization chart. The utility of this chart is greatly enhanced by a narrative description of major organizational units within the library, taking into account such aspects as distribution of functions and activities, working and reporting relationships, staff size and span of control for administrators, distribution of financial resources, and decision-making methods. The description may also comment on the major determinants of the organizational structure, such as physical facilities, finances, university requirements, historical background, key advisory groups, and the contributions of formal groups such as committees, staff associations, and faculty advisory groups.

Up to this point, this introduction has stressed examining components of the library organization that are observable. There are also a number of covert social, psychological, and behavioral components of the general working climate that influence the use of staff talents, energies and interests. The climate of the organization provides diagnostic information which can suggest needed changes in library systems and structures. This climate can be judged on the following factors:

* The relative degree of emphasis on tasks vs. people.
* The willingness of individuals and groups to experiment with new approaches to relationships or functions.
* The quality of staff morale. While one indicator is the amount of personal antagonisms and hostilities, the real test is the degree of commitment to organizational goals and high performance.
* The degree of openness and trust. Are problems identified to be solved or are they hidden to avoid punishment?
* The amount of cooperation that occurs versus interdepartmental competition. Do departments work together for the total organization or do they compete in defense of their local interests?
* The existence of unwritten informal norms concerning what should and should not be done under specified circumstances. Norms may

encompass organization pride, excellence of performance, teamwork, and relations with users. Such norms may help library accomplishment of goals (e.g., norms that sanction low levels of productivity, absenteeism, destructive criticism of library operations, secrecy, and non-support for colleagues).

It is important to recognize that climate problems are largely symptomatic of deeper structural system and leadership problems. Thus, analysis of these climate factors can lead to changes in the way the library administration assigns and deals with accountability, designs and operates a reward system, divides work and maintains reporting relationships, communicates among various components, and makes decisions.

As the dimensions of library organization -- relationship with environment, management philosophy, internal structure, and climate -- are examined, we see that the problems of coordination and integration arising from the way we organize are real and natural. These problems often are rooted in the tendency toward specialization and departmentalization, provincial outlooks, limited objectives, and general resistance to change. This results in suspicion, distrust, conflict, and misunderstanding -- all of which interfere with accomplishment of library goals.

Today libraries are experimenting with new groupings of library activity, new offices to perform critical library functions, and new relationships among staff that stress teamwork and problem solving in task related groups. Many libraries attempt to clarify overall organizational goals and relate them to departmental and individual roles. Examples of these new developments and of ways to analyze or assess organizational effectiveness are provided in the following sections.

SECTION ONE: ORGANIZATIONAL DATA GATHERING TOOLS AND TECHNIQUES

To review the organizational structure of a library, information is needed on the organizational relationships of the library to the university, the philosophy of the library's top management, and the dynamics of informal organization within the library, as well as the formal structure of work within the library. The key need of course, is to determine the formal distribution of functions, resources, and responsibilities among units. A review of available documents describing the organization is an excellent point of departure since it will reveal issues and questions that can be explored in interviews with staff members. Subsequently, information is needed on working and reporting relationships, performance criteria, span of control, and decision making methods. One of the best formats for collecting information on the character of organizational units within the library is provided by Columbia University Library's unit descriptions, of which two samples are included.

The search for information on organizational relationships of the library to the university should aim toward answering the questions: Where does the library fit into the organizational scheme of the university? What interfaces exist between library administrative staff and university administrative staff? What are the role and influence of the library in the university decision making process? This type of information is generally obtained through interviews with appropriate library and university staff. Sample interview guides are provided in this section.

Information management philosophy may be more difficult to collect. The key questions here are: How does top management view the purpose of organizational structure? What is the basic process for decision-making in the library? And, what is the characteristic leadership style prevailing in the library? This information can be secured via interviews with key staff. Again, this section provides interview guides.

A final information need relates to the informal organization -- the organizational climate and the impact of organizational structure on individual attitudes, work habits, and motivation. A number of questionnaire methods available for collecting this type of information (Likert's Profile of Organizational Characteristics[1], Alexander's Organizational Norms Questionnaire[2] or Harrison's Diagnosing Organizational Idealogy Questionnaire[3]) may be adapted

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[1] Likert, Rensis. The Human Organization. New York: McGraw-Hill, 1967.

[2] Alexander, Mark. "Organizational Norms Opinionaire" in Pfeiffer, William and John Jones ed. The 1978 Annual Handbook for Group Facilitators. LaJolla, CA: University Associates, 1978.

[3] Harrison, Roger. "Diagnosing Organizational Ideology" in Pfeiffer, William and John Jones ed. The 1975 Annual Handbook for Group Facilitators. La Jolla, CA: University Associates, 1975.

to library settings, with careful review. A survey used by many libraries and designed by the ARL's Office of Management Studies is included in this section. Some care should be exercised in using and analyzing the data collected in this area. Because this information will highlight problems, inconsistencies, and disputes, it needs to be processed carefully. The analyst must be prepared to relate symptomatic problems to causal issues. These issues may concern organizational structure or they may reflect problems with policy formulation, supervisor behavior, communication channels, or training procedures.

This section includes the following documents.

Areas of Consideration for Organization Task Force, The University of Rochester

-from final Management Review and Analysis Program report, July 1974

Alternative Data Gathering and Techniques

-an OMS document

Unit Descriptions - Serials and Documents Acquisitions Section, Social Work Library

-from The Administrative Organization of the Libraries of Columbia University, 1975.

Interview Guides on:

1. The Ability of the Library Organization to Respond to University Needs
2. The Relation of Organizational Structure to Overall Library Objectives
3. The Relation of the Organization of Library Facilities and Staff to User Service
4. Organizational Use of Resources -- Personnel, Funds, and Materials
5. Organizational Capacity for Accommodating Changing and Special Needs

-all from Management Review and Analysis Program Manual

Strategy for Development of an Organizational Profile for the Management Review and Analysis Program and Organizational Profile Questionnaire

-an OMS document

Surveys from MRAP Task Force on Organization to Department Heads and Library Staff, The University of Rochester

-from final Management Review and Analysis Program report, July 1974

Memo; Survey on Organization to All Library Staff from MRAP Task Force on Organization, Washington State University

-from final Management Review and Analysis Program report, April 1974.

UNIVERSITY OF ROCHESTER

ORGANIZATION TASK FORCE

Areas of Consideration

1. The Library within the University.
   - Reporting relationship to University administration.
   - Relationship to other information dispensing units (esp. Instructional Media Center and Computing Center)
   - Relationship to other University units. (such as Info. Systems Center)
   - Contacts with faculty and students.
   - Relationship of departmental libraries to their departments or colleges.

2. Formal Structure of the Library.
   - Historical development.
     - Reasons for major organizational changes.
   - Present organization.
     - Does it reflect University and Library objectives?
     - Are relationships clear and well defined?
     - Are relationships logical?
     - Are like activities grouped?
   - Centralization vs. decentralization.
     - Consider departmental libraries- why they developed, and reasons for their present locations.
     - Consider departmental reading rooms.
     - Consider "other" libraries (MAG, Computing Center)
     - Consider graduate and undergraduate division.

2A. Library Committees & Staff Organization(s).
   - What are standing committees?
     - Present function(s)
     - Suggested function(s)
   - What other types of committees operate?
   - Consider staff involvement in committee work.
   - Should other groups be established?

2B. Relationship to outside organizations (ERRLC, FAUL, etc.)

3. Organizational Process.
   - How does management style affect the organization?
   - Where is decision-making done? Planning?
   - What degree of responsibility and authority do organizational units have?
   - To what degree has personality affected the organizational structure and process?

Alternative Data Gathering Tools and Techniques

Libraries interested in how their organization works and how the staff view their organization can obtain information in four basic ways: by gathering together available documents, by conducting surveys, by interviewing staff, and by observing work flow.

Organizational surveys and questionnaires are used to systematically inventory all or portions of the staff concerning their perceptions of how the library organization works, problems associated with library policies, and attitudes toward their own work situations. Surveys formally collect information that is usually available only informally, such as through the grapevine. The formal and systematic collection of this information allows the library to pinpoint problems and suggest corrective actions. For example, rumors concerning dissatisfaction with working relationships between major library units can be studied to determine extent and impact of dissatisfaction on unit performance, and to obtain ideas for strengthening these relationships.

When deciding to use surveys or questionnaires to gather information on organizations, the library can weigh the following advantages and disadvantages:

Advantages	Disadvantages
* Secures much information quickly	* Takes staff time to fill out
* Gives many staff opportunity to contribute viewpoints	* Staff may find requests for information threatening and confusing
* Allows development of data that can be compared over time	* Difficult to design a questionnaire that allows staff to provide useful data
* Can identify specific problems to work on	

There are a number of measures that can be taken to reduce the impact of the disadvantages including using available questionnaires and clarifying the purpose of the survey or questionnaire. The questionnaire should provide specific data dealing with relevant organizational issues. The data which are collected should be shared openly, although in an anonymous fashion, with all staff who contributed to the survey. Such feedback assures staff that their comments are being considered and encourages their further involvement in the study.

When deciding to use interviews to gather information on organizations the library can weigh the following advantages and disadvantages:

Advantages	Disadvantages
* Provides for a dialogue that can result in more precise information	* Time requirements limit coverage
* Allows for a cumulative data gathering effort that builds on and extends information secured	* Staff may not have interviewing skills
* Responds directly to staff concerns and questions	* Data gathered may not be consistent or comparable
* Provides for a wide range of staff input	* May be difficult to analyze and relate information to question
	* May build unfulfillable expectations on the part of people interviewed

Interviewing is particularly well suited to attempts to determine general areas of concern allowing specific data gathering efforts to be developed or to preparing descriptions of unit or individual work responsibilities, dimension of responsibilities, working relationships and reporting relationships. Interview guides should be prepared that allow systematic coverage of target groups. Summaries of results should be provided contributors.

Observation is a useful data gathering technique to use when concrete information on individual activity or behavior is needed. The advantages and disadvantages are noted below:

Advantages	Disadvantages
* Provides objective data unclouded by participant interpretation	* Limited to behavior or actions that are observable
* Allows precise delineation of specific behaviors and actions	* Requires very careful specification of data needed
* Secures information on staff activity without cumbersome procedures	* Staff may resent or resist surveillance

The technique of observation is most commonly associated with work measurement and work flow design. On occasion, it can help in assessing unit and individual work relationships.

COLUMBIA UNIVERSITY

SERIALS AND DOCUMENTS ACQUISITIONS SECTION

Principal Administrator: Head, Serials and Documents Acquisitions Section

Parent Unit: Acquisitions Department

Role: To provide acquisitions, processing, and other services for governmental and non-governmental serials and governmental monographs necessary to support the functioning of the library system.

Objectives

1. Improve the operation of all library units relying on the Serials and Documents Acquisitions Section by providing efficient and economic service and by participating in the establishment of policies which further such service.

2. Facilitate the functioning of library units and contribute to sound finances by participating in the maintenance of library accounts designated for expenditures for serials and documents publications.

3. Enhance the effectiveness of collection development by monitoring requests for serials and documents to prevent unwanted duplication and unnecessary expenditures of library funds.

4. Support the process of collection development through the proper acquisition of designated serials and documents and by participating in their selection.

5. Improve bibliographic control over serials and documents by maintaining records before permanent bibliographic control is achieved and by participating in the creation and maintenance of permanent bibliographic records.

6. Increase the library's informational resources by maintaining kardex and other records of serials and documents.

7. Participate in the disposal of unwanted serials and documents in the most beneficial way.

Functions

1. Participate in the budgetary process for the Serials and Documents Acquisitions Section.

2. Participate in monitoring library accounts for expenditures connected with serials and documents.

3. Maintain and monitor Deposit accounts and Coupon accounts.

4. Monitor requests for serials and documents to prevent unwanted duplication and unnecessary expenditures of library funds.

5. Act as a final check or review on the appropriateness of searching verification performed elsewhere, and perform additional types of searching and verification not performed elsewhere in order to support the activities of the Section.

6. Recommend the best method of acquiring serials and documents.

7. Acquire assigned serials and governmental monographs by ordering or soliciting.

8. Maintain all orders, subscriptions, solicitations, Depository programs, etc. on an active basis by monitoring, soliciting information, claiming, reorder-

ing, maintaining Columbia's name on gift and exchange mailing lists, by replying to questionnaires or by acknowledging receipt of individual issues, or by processing annual expiration notices or confirming order forms.

9. Receive, check in and route certain serials and documents.

10. Approve and prove payment of invoices and reimbursement of credits incurred as subscription or issue costs, or as dues or fees for any of the Section's subscriptions or subscription plans, services, memberships. blanket orders, or cooperative projects.

11. Originate claims for the Circulation Section of the Humanistic and Historical Studies Center, and for all libraries' materials missing from U.S. Depository shipments, Crown Agents, blanket-order shipments, invoices, and other materials that fall outside the normal claiming process.

12. Order, approve payment for, and maintain records of serials and documents used as exchange materials.

13. Cancel or transfer serial subscriptions when necessary.

14. Create, maintain, and make accessible records of:
    a. Serials and documents acquired as well as those discarded, offered, routed to other institutions, or disposed of in other ways.
    b. Services, materials, and/or privileges provided to the Libraries by Libraries, University, or personal memberships, services, blanket orders, depository programs, or cooperative projects.

15. Acquire and make effective use of knowledge, information, and bibliographic tools relating to serials and documents.

16. Provide access to, interpretation of, and information from the Section's materials files, records and tools.[2]

17. Bring serial and document publications and information to the attention of selection officers, assist selection officers, and select certain documents.

18. Participate in the creation and maintenance of permanent bibliographic control records.

19. Participate in the disposal of unwanted serials and documents in the most beneficial way.

20. Coordinate, supervise and monitor policies, materials, and records in certain categories (such as U.S. depository) in order to satisfy various regulations and restrictions.

21. Have central responsibility for correspondence on most matters concerning the acquisition of serials and documents.

22. Consult with and advise staff members in Service units and elsewhere about policies and procedures pertaining to activities performed centrally by the Serials and Documents Acquisitions Section.

23. Participate in supporting the RLG Serials Program.

Key Working Relationships

1. Selection officers.
2. Catalogers.
3. Subscription agencies.
4. Proposed Documents Room staff.

Reports

Statistical and evaluative reports as policy requires.

Performance and evaluative criteria

1. Proper placing of Serial and Document orders.
2. Proper payment of invoices to make the most beneficial use of budgeted funds.
3. Completeness, accuracy, and accessibility of bibliographic records, files, and tools.
4. Promptness, completeness, and accuracy of reporting of information from the Section's records, files, and tools to other units of the Libraries as required.
5. Success in communicating Serials and Documents Acquisitions' policies and procedures to other units of the library which depend on the Section's services.
6. Satisfaction of other library units relying on the Serials and Documents Acquisitions Section.

Note

1. Documents refers to governmental serials and monographs. Serials refers only to non-governmental serials. The exact definition of governmental as it applies to Columbia's documents has yet to be defined.
2. Some of these activities can be transferred to a Documents Room.

SOCIAL WORK LIBRARY
(Whitney M. Young, Jr. Memorial Library
of the School of Social Work)

COLUMBIA UNIVERSITY

Principal Administrator: Head, Social Work Library

Parent Unit: Social Science Division.

Role: To provide library service to the academic community in the area of social work.

Objectives

1. Build and maintain library services and resources to support the instructional and research needs of the academic community, especially the School of Social Work.

2. Aid users in making the best possible use of the Social Work Library's resources and services.

3. Provide library services and resources in the most efficient way possible.

4. Provide an environment conducive to effective study and research.

5. Maintain mutually helpful relationships with faculty, students, alumni and all who serve the University, with professional organizations in social work, and with the larger social work community.

Functions

1. General:
   a. Participate in formulating, interpret and implement policies regarding use of the Social Work Library and its collections, services and facilities.
   b. In conjunction with the Resources Group, participate in budgeting and administer funds allocated to the Social Work Library, monitoring accounts and calling attention to adjustments as needed.
   c. Establish and maintain routines for ordering materials, requisitioning supplies, handling mail and processing.

2. Reference and reader services:
   a. Answer information and reference questions.
   b. Help readers to take maximum advantage of the library's resources in dealing with specific instructional and research problems.
   c. Provide consultations on research projects.
   d. Provide current awareness services such as displays, periodic lists of new acquisitions and selective dissemination.
   e. Maintain annotated public files of reading lists for current courses.

3. Access services:
   a. Control the circulation of materials by maintaining necessary records.
   b. Search and retrieve materials requested by other libraries.
   c. Provide such services as recalls, reader request holds, and overdue notices.
   d. Prepare and process F-invoices.
   e. Collect fines.
   f. Provide a reserve collection, and service this collection by soliciting reserve lists from faculty and obtaining, processing and deprocessing materials.
   g. Page materials from areas not open to readers.
   h. Provide rapid and accurate shelving of materials.
   i. Search for missing materials.
   j. Maintain interlibrary loan services.

4. Bibliographic Control:
   a. Maintain the Social Work Library catalog, serials catalog, reserves card file and departmental shelflist with the assistance of Support and Resource personnel.
   b. Maintain such auxiliary aids as a checklist of social agency publications and a card file of alternate locations for journal and other articles.
   c. Recommend serial analysis to Serials Cataloging.

5. Collection Development (done in conjunction with the Resource Development Division):
   a. Select materials for the Social Work Library, including refence tools, monographs, serials, documents, agency publications and services.
   b. Solicit free materials.
   c. Sort and search gifts, sending those selected to be processed and those rejected to Gifts & Exchange.
   d. Forward orders for monographs and serials after searching pending order files, relevant catalogs and other bibliographic tools.
   e. Participate in formulating a policy of collection development.

6. Collection maintenance and preservation (done in conjunction with the Resource Development Division and Support Group Personnel):
   a. Maintain security of the collection.
   b. Provide for the supplementary processing of new monographs and serials, including such operations as adjusting records, taping, plating, pocketing, stamping.
   c. Systematically review order files and other records and claim missing materials.
   d. Following regularly scheduled inventories, forward orders for replacements as needed.
   e. Identify and recommend materials for preservation.
   f. Select and prepare materials for binding.
   g. Weed the collection.
   h. Maintain and regularly weed vertical and other files.

Key Working Relationships
1. Office of the Dean of the School of Social Work.
2. Faculty, students and researchers in the School of Social Work.
3. Resource Development Division
4. Acquisitions units.
5. Cataloging units.
6. Inter-library Loan Section.
7. General Reference Department.
8. Other libraries and units in the Social Sciences.
9. Gifts and Exchange Department
10. Social work organizations and libraries.

Reports
Statistical and evaluative reports as policy requires.

Performance and Evaluative Criteria
1. Satisfaction of users' needs.
2. Reliability and speed of service.
3. Protection of materials against loss and deterioration.
4. Physical condition of facilities.

Interview Guide: The ability of the library to respond to university information needs.

QUESTIONS	COMMENTS
a. How does the library's organizational structure respond to the information needs of the major university programs (i.e., business, graduate arts, undergraduate science, etc.)?	
b. Are library/university organizational relationships spelled out in terms of collection development, curriculum planning, services to users, and other critical library programs (reporting, working and advisory relationships)?	
c. What is the nature of contacts between library staff and faculty?	
d. Are there positions with somewhat special or unique liaison functions for university programs? (library instruction office, language specialist, joint academic department/library appointment)	
e. Does the university have information services which are not a part of the library? What is their relationship to (impact on) the organization of the library?	
f. Are there "unofficial" collections which have been developed independent of the library? Why have they developed? How do they affect the library?	

Interview Guide: The relation of organizational structure to overall library objectives

QUESTIONS	COMMENTS
a. Are the basic programs and objectives of the library sufficiently supported by the present grouping of library activities?	
b. What apparent priority is assigned to the various programs of the library?	
c. How do available program emphases relate to statements of objectives, and are they consistent with the organization chart? What potential conflicts exist?	
d. Can the activities and functions of the major departments be related to one or more overall objective of the library?	

ANALYSIS AND EVALUATION RELATING TO PRESENT SITUATION

SPECIFIC RECOMMENDATIONS

Interview Guide: The relation of the organization of library facilities and staff to user service.

QUESTIONS	COMMENTS
a. Are library units organized to facilitate use of the library? What are the main categories of user services? What staff positions are primarily responsible for each of these categories?	
b. Is staffing for user services adequate? What additional services and staff are needed? What reorganization would be necessary to supply these services?	
c. Is the complexity of the library facility minimized from the point of view of the general user? Is adequate information and orientation regarding the library's organization provided to library's users? Who is responsible for this?	
d. Are there graduated levels of service for different types of users and information needs? Do units respond to special user needs?	
e. What means are available to users for making their opinions known to the library administration? What methods are used to keep the appropriate library staff informed of users needs? Is there a mechanism to respond to user suggestions and complaints?	
f. What new services have been added in the last five years? Discontinued? Have there been consistent efforts to upgrade services? Who makes these decisions?	

Interview Guide: Organizational use of resources--personnel, funds, and materials.

QUESTIONS	COMMENTS
a. Does the organization plan facilitate effective execution of line and staff responsibilities? Is professional attention focused on library functions of primary importance?	
b. Does the organization structure bring together the skills and perspective needed for effective decision-making? Is this process well-defined and understood?	
c. Do standing committees exist in the organization plan? Do these committees operate with clear charges and systematic involvement of professional and support staff? Are administrative and committee roles, relationships, and responsibilities clearly understood by all staff?	
d. What operating problems arise because of present structure--in the area of personnel? of use of funds? of use of facilities and equipment?	
e. Is span of control for individual supervisors arrived at rationally? While span of control depends on the nature and content of the responsibility, are there any supervisors with more than 12 or less than 3 immediate subordinates? Is this appropriate?	
f. Are activities grouped in a way that facilitates analysis and performance measurement? Are related technical and support activities grouped together to encompass a complete transaction (such as ordering of materials, processing, fiscal records, or searching for bibliographic information)? Are personnel so grouped that related work comes under a single supervisor? Are working units physically located as much as possible according to how they fit into given work flows?	

QUESTIONS

COMMENTS

g. Does organization enhance the flow of communication and facilitate effective working relationships? Are lateral, upward, and downward working relationships designed to focus appropriate perspectives on the conduct of critical library programs? Do supervisors feel that they have the access in the organization to the information they need to fulfill responsibilities and exercise their authority properly?

ANALYSIS AND EVALUATION RELATING TO PRESENT SITUATION

SPECIFIC RECOMMENDATIONS

Interview Guide: Organizational capacity for accommodating change and special needs.

QUESTIONS	COMMENTS
a. Is the organization plan regularly reviewed and evaluated? What are some of the criteria that are used in determining when change in organization is warranted?	
b. What changes have occurred in the organization of the library in the past 5 years? Why did they occur? How were they accomplished?	
c. How are organizational units and staff positions created? Do internal committees or other interdepartmental groups exist? What is their role (problem-solving, issue identification, discussion and recommendations)? What is their role vis-a-vis organization?	
d. What flexibility currently exists in the organization of the library, in terms of staff, recourses, and space?	
e. Is the present organization geared to meet the future problems and opportunities of the library?	

ANALYSIS AND EVALUATION OF PRESENT SITUATION

SPECIFIC RECOMMENDATIONS

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ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

STRATEGY FOR DEVELOPMENT OF AN ORGANIZATIONAL PROFILE FOR THE MANAGEMENT REVIEW AND ANALYSIS PROGRAM

1. Rationale and Purpose

The OMS Profile was developed as an option to the Likert Profile of Organizational Characteristics. Past experience in the MRAP indicates that difficulties were experienced in using LIKERT because of: the philosophic questions involved (is system four optimal; can you relate library management styles to system 1, 2, 3, or 4; are there other management styles and values not measured; etc.); and the lack of Study Team expertise needed for analysis and use of the data.

The OMS profile is designed to follow-up on the earlier needs assessment survey by: broadening the scope of opinion surveyed; involving other staff; and relating to future Task Forces. The OMS profile will be easier for staff to answer, easier for the Study Team to analyze, and easier to use for the report in documenting the work and the recommendations.

This instrument is intended simply to inventory staff perceptions concerning critical organizational issues. On the basis of the data gathered profiles will be created for the library as a whole and the major organizational units within it. These profiles will characterize patterns in supervision, motivation, communication, decisions, goals, performance review, and training.

The profiles start with the assumption that libraries are working toward a more effective organization. Furthermore, this organization can be characterized in terms of good communication, high morale, timely decisions, etc. Available research indicates that the quality of performance in these areas contributes to the quality of performance for the overall organization. The collection of staff attitudes in these key areas will help identify where the study teams/task forces should focus their efforts and will be useful in justifying judgments and conclusions.

2. Application Procedures

a. Assure Confidentiality

In using this profile, the Study Team should take steps to assure the confidentiality of responses. One method for doing this is to establish a simple coding system that allows the respondant to indicate only his/her department and whether he/she is supervisory personnel. Respondants should be told that they are not to sign the questionnaires. Furthermore, the Study Team should analyze, report, and use the data gathered carefully, in order not to violate this reponsibility.

b. Scope of Coverage

On the basis of past experience, the Office suggests that the Study Team have everyone in the library complete the form. This participation, however, should be voluntary, with the rate of response noted (less than 60% response might be viewed as an indicator itself).

c. Distribution and Completion of the Form

Some advance notice should be provided, particularly to the supervisory staff, that this survey will be applied (see p. IX of Figure 18 in the MRAP Manual for an illustration).

While the form can be filled out on an individual basis, it may be useful to present the questionnaire in small group sessions where the Study Team can answer questions and provide assistance. One suggested process might be:

(1) Introduce.
(2) Pass it out.
(3) Review by surveyees.
(4) Ask for questions.
(5) Respond during survey on request.
(6) Any other questions or general response at end.

Any questions asked should be noted and discussed later by the Study Team. In planning for these meetings, it will be useful to review the discussion guide for the LIKERT Profile that is in the MRAP Manual.

3. Analysis Procedures

a. Scoring the results can be accomplished by weighting the answers with numerical assignments. For example, each category should have an optimal score of 100. In most categories, there are three questions (exception is supervision, with four), therefore assignments can be made in the following fashion:

(1) Evenly weighted

Four questions		Three questions
25	a great deal	33
16.5	substantial amount	22
08	some	11
00	virtually none	00
00	other (comments should be used independently)	00

An alternative might be:

(2) Weighted toward positive end of scale

Four questions		Three questions
25	a great deal	33
14	substantial amount	18
06	some	08
00	virtually none	00
00	other (comments should be used independently)	00

See attached questionnaire form for sample numerical assignments.

Scores for each question and category (i.e., supervision, motivation, communication, etc.) should be noted on individual tally sheets (Attachment 1). Totals for categories then can be transformed to departmental tally sheets (Attachment 2), where average scores can be calculated. The library's profile can then be computed in the same fashion by taking the departmental scores and dividing by the number of departments. The results can be summarized in a graphic display provided in Attachment 3.

b. Examining and using the data

The Study Team should make two passes through the results. In the first pass, an attempt should be made to pinpoint problems and assess what the data says about those problems. A second pass should be made to look at strengths that can be identified. There is a need for specific emphasis on strengths as the Study Team goes about dealing with problems. For example, if responses indicate that people have skills and training that are not being utilized then management has some resources that they might want to use effectively.

Any written comments made by the respondants should be looked at carefully and used for specific illustrations to support the Study Team's analysis.

Summary reports should be prepared and distributed to the staff as soon as possible following the survey. These reports can use the graphic display as a means of summarizing the data. The more detailed tables may be useful for the follow-up discussions with top management.

4. Suggested Tactics

As with the LIKERT profile, the Study Team should meet with the Director in advance of the decision to use this questionnaire, in order to get agreement on the use of the survey and its results. It is important that later, when the Study Team presents the findings, there will not be debates over the validity of the procedures or the questions.

The notes provided in the MRAP Manual on applying the LIKERT profile will be useful for operating this profile.

The Study Team may want the Chairpersons from the Task Forces on Supervision, Organization, and Staff Development to coordinate the application and analysis of the profile since the results will be particularly useful to those Task Forces.

The Study Team may find it useful to examine MRAP reports from earlier participants to see how they dealt with LIKERT results.

Attachment 1.

Response No._____

Department Code_____

Association of Research Libraries/Office of Management Studies

MRAP ORGANIZATIONAL PROFILE

INDIVIDUAL TALLY SHEET

CATEGORY I: SUPERVISION

QUESTIONS	SCORE	
3	_____	
9	_____	
14	_____	
15	_____	_____ TOTAL

CATEGORY II: MOTIVATION

QUESTIONS	SCORE	
1	_____	
17	_____	
22	_____	_____ TOTAL

CATEGORY III: COMMUNICATION

QUESTIONS	SCORE	
2	_____	
7	_____	
8	_____	_____ TOTAL

CATEGORY IV: DECISIONS

QUESTIONS	SCORE	
4	_____	
11	_____	
19	_____	_____ TOTAL

ATTACHMENT 1 Continued INDIVIDUAL TALLY SHEET

CATEGORY V: GOALS

QUESTION	SCORE	
5	_____	
6	_____	
12	_____	_____ TOTAL

CATEGORY VI: PERFORMANCE REVIEW

QUESTION	SCORE	
10	_____	
16	_____	
21	_____	_____ TOTAL

CATEGORY V: TRAINING

QUESTION	SCORE	
13	_____	
18	_____	
20	_____	_____ TOTAL

Attachment 1.

Response No._____

Department Code_____

Association of Research Libraries/Office of Management Studies

MRAP ORGANIZATIONAL PROFILE

INDIVIDUAL TALLY SHEET

CATEGORY I: SUPERVISION

QUESTIONS	SCORE	
3	_____	
9	_____	
14	_____	
15	_____	_____ TOTAL

CATEGORY II: MOTIVATION

QUESTIONS	SCORE	
1	_____	
17	_____	
22	_____	_____ TOTAL

CATEGORY III: COMMUNICATION

QUESTIONS	SCORE	
2	_____	
7	_____	
8	_____	_____ TOTAL

CATEGORY IV: DECISIONS

QUESTIONS	SCORE	
4	_____	
11	_____	
19	_____	_____ TOTAL

ATTACHMENT 1 Continued INDIVIDUAL TALLY SHEET

CATEGORY V: GOALS

QUESTION	SCORE	
5	_____	
6	_____	
12	_____	_____ TOTAL

CATEGORY VI: PERFORMANCE REVIEW

QUESTION	SCORE	
10	_____	
16	_____	
21	_____	_____ TOTAL

CATEGORY V: TRAINING

QUESTION	SCORE	
13	_____	
18	_____	
20	_____	_____ TOTAL

Attachment 2. Continued. DEPARTMENTAL TALLY SHEET

CATEGORY VI: PERFORMANCE REVIEW INDIVIDUAL SCORES: _____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

GROUP AVERAGE: _____

CATEGORY VII: TRAINING INDIVIDUAL SCORES: _____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

GROUP AVERAGE: _____

Attachment 2.

Association of Research Libraries/Office of Management Studies

MRAP ORGANIZATIONAL PROFILE

DEPARTMENTAL TALLY SHEET

DEPARTMENT: _____ DATE: _____

CATEGORY I: SUPERVISION INDIVIDUAL SCORES: _____ _____ _____ _____

GROUP AVERAGE _____

CATEGORY II: MOTIVATION INDIVIDUAL SCORES: _____ _____ _____ _____

GROUP AVERAGE _____

CATEGORY III: COMMUNICATION INDIVIDUAL SCORES: _____ _____ _____ _____

GROUP AVERAGE _____

CATEGORY IV: DECISIONS INDIVIDUAL SCORES: _____ _____ _____ _____

GROUP AVERAGE _____

CATEGORY V: GOALS INDIVIDUAL SCORES: _____ _____ _____ _____

GROUP AVERAGE _____

Attachment 3.

Association of Research Libraries/Office of Management Studies

MRAP ORGANIZATIONAL PROFILE

DISPLAY

DEPARTMENT/LIBRARY:_____

	I Supervision	II Motivation	III Communica-tion	IV Decisions	V Goals	VI Performance Review	VII Training
100							
90							
80							
70							
60							
50							
40							
30							
20							
10							
(Numerical Score)							

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ORGANIZATIONAL PROFILE QUESTIONNAIRE

I N S T R U C T I O N S

The attached series of questions are designed to gather specific data that will be used to prepare an organizational profile for the library.

The Organizational Profile is a means of providing the MRAP Study Team with information on the "operational system" or modus operandi of his group as it is perceived by all the members of that group. Because of the complex system at work in an operating segment or group, simple answers do not provide sufficient distinction to given an accurate picture. For this reason, each question has several degrees of reply that make possible a more precise profile.

This information is gathered with the understanding that all the data collected will be treated in a confidential manner. An organizational profile for major departments and the library as a whole will be prepared and distributed to the staff.

Answer sheets are not to be identified in any way except for the name of the department.

February, 1974

ASSOCIATION OF RESEARCH LIBRARIES/OFFICE OF MANAGEMENT STUDIES

ORGANIZATIONAL PROFILE QUESTIONNAIRE

_____
Name of Department

YES ☐ NO ☐

Are you supervisory staff? (i.e., do you have organizational responsibility for at least one staff)

ARL/OMS ORGANIZATIONAL PROFILE QUESTIONNAIRE

1. For most of the staff in your unit, how much of their motivation is provided by the work of the library?

   a. a great deal
   b. substantial amount
   c. some
   d. none
   e. additional comment:

2. Do you think you get the information you need to do your job?

   a. regularly
   b. fairly often
   c. sometimes
   d. seldom
   e. additional comment:

3. How much confidence and trust do you think your supervisor has in you?

   a. a great deal
   b. substantial amount
   c. some
   d. virtually none
   e. additional comment:

4. Are you involved in important decisions related to your work?

   a. fully involved
   b. usually
   c. occasionally consulted
   d. almost never
   e. additional comment:

5. Are the formal and informal work goals of your unit supportable?

   a. a great deal
   b. to a degree
   c. occasionally
   d. not at all
   e. additional comment:

6. How clearly does your unit understand what it should accomplish?

   a. completely clear
   b. reasonably clear
   c. pretty unclear
   d. completely unclear
   e. additional comment:

7. How do you view the information you get from other units in the library?

   a. completely adequate
   b. pretty good, most of the time
   c. usually inadequate
   d. inadequate
   e. additional comment:

8. Do you think your supervisors are aware of the operating problems you face?

   a. regularly
   b. fairly often
   c. occasionally
   d. not at all
   e. additional comment:

9. Do you feel free to talk to your supervisor about your job?

   a. very free
   b. quite free
   c. somewhat free
   d. not very free
   e. additional comment:

10. Do you have any role in reviewing the work performance of the unit?

    a. always
    b. usually
    c. sometimes
    d. no
    e. additional comment:

11. Do you think that the necessary decisions are made on a timely basis?

    a. regularly
    b. fairly often
    c. sometimes
    d. seldom
    e. additional comment:

12. Has the library as a whole established work goals?

    a. established and used
    b. they probably exist
    c. do not know
    d. none are clearly established
    e. additional comment:

13. Have you been given the opportunity to develop your skills or enhance your education?

    a. a great deal
    b. somewhat
    c. very little
    d. not at all
    e. additional comment:

14. How often does your supervisor seek your ideas and use them constructively?

    a. regularly
    b. fairly often
    c. sometimes
    d. seldom
    e. additional comment:

15. Do you think that supervisors generally within your department are competent?

    a. very competent
    b. quite competent
    c. somewhat competent
    d. not very competent
    e. additional comment:

16. Is the criteria for evaluating staff and unit performance adequate?

    a. yes
    b. usually
    c. sometimes
    d. no
    e. additional comment:

17. Does your supervisor try to get you to work harder by (1) reward; (2) praise; (3) fear; (4) threats?

    a. 1 and 2
    b. some of each, but emphasis on 1 and 2
    c. some of each, but emphasis on 3 and 4
    d. 3 and 4
    e. additional comment:

18. Have you been given the kind of training required to perform your responsibilities?

    a. a great deal
    b. somewhat
    c. very little
    d. not at all
    e. additional comment:

19. Where are the major policy decisions made in the library?

    a. decentralized, but integrated
    b. a general pattern of delegation
    c. mostly at the top, some delegation
    d. at the top
    e. additional comment:

20. To what extent are your skills and training used?

    a. a great deal
    b. somewhat
    c. very little
    d. not at all
    e. additional comment:

21. Do you have any role in reviewing your work performance?

    a. a regular review process involving staff operates
    b. occasionally I am involved in review activities
    c. review is done only by supervisor
    d. no review is done
    e. additional comment:

22. How much of your motivation is provided by the work that you do?

    a. a great deal
    b. substantial amount
    c. some
    d. none
    e. additional comment:

THE UNIVERSITY OF ROCHESTER

INTRAMURAL CORRESPONDENCE

March 15, 1974

To: Department Heads

From: LRAP Task Force on Organization

In looking at the overall organization of the library, we find we need information on the structure of departments within the library.

Please submit an organization chart of your department and a brief statement (1-2 paragraphs) of the major functions performed.

If any of your staff members have collection development responsibilities, please list their names and the subject areas covered.

Please return this information to the Organization Task Force, in care of the Library Office, by 5 p.m. on Tuesday, March 19, 1974.

Thank you for your cooperation.

THE UNIVERSITY OF ROCHESTER

INTRAMURAL CORRESPONDENCE

March 15, 1974

To: Library Staff

From: MFAP Task Force on Organization

In looking at the library's organization, we are considering internal committees and interdepartmental groups as well as the formal organization. In order to help us in doing this, we are asking you to complete the attached questionnaire.

Please return it to the Organization Task Force in care of the Library Office by 5 p.m., Wednesday, March 20, 1974.

Thank you for your cooperation.

Please check: __ Professional __ Non-professional

1. To your knowledge, what committees are currently functioning in the library?

2. If you are currently serving on a committee, list its name and briefly describe its functions.

3. What committees would you like to see in the library? Why?

4. Who do you feel should be represented in the committees? (e.g. Administrators, professionals, support staff, students, faculty)

5. What other groups would you like to see established in the library? Why?

6a. What are the current functions of the Staff Association?

b. What functions would you like to see it perform?

MEMORANDUM WASHINGTON STATE UNIVERSITY

TO: All Library Staff

FROM: MBAP Task Force on Organization

DATE: April 19, 1974

SUBJECT: SURVEY ON ORGANIZATION

The Organization Task Force is having a problem getting its questions down to a manageable number! Many questions we need answers for will be handled soon by individual or group interview. The particular questions that follow here are the ones on which we would appreciate response from any member of the Library Staff who has either opinion or information to offer.

SURVEY ON ORGANIZATION

Instructions:

a. If you have questions, please contact a member of the Organization Task Force (Gabriella Ball, Virginia Holte, Eleanor Naffziger, Elizabeth Roberts, Sharon Smock, and John Williamson).

b. Return completed questionnaire to Gabriella Ball by Wednesday, April 24.

c. Indicate your job level by checking one of the following:

_____ Division Chief	_____ Supervisor B
_____ Librarian IV	_____ Library Technician 3
_____ Librarian III	_____ Library Technician 2
_____ Librarian II	_____ Library Technician 1
_____ Librarian I	_____ Office Assistant 2
_____ Supervisor A	_____ Office Assistant 1

4.6 How do you think breadth of control of supervisors is handled? (Reference is both to breadth of subject and numbers of people supervised.)

4.11 In what ways does the present organization enhance or impede the flow of communication? Facilitate or impede effective working relationships?

4.12 How do working relationships (horizontal and vertical) encourage or discourage the development and interchange of ideas about the conduct of Library programs?

5.5 Do internal committees and other interdepartmental groups exist in the Library?

What is their role (i.e., problem solving, issue identification, discussion and recommendation)?

6.1 Do you see organizational problems in the Library that need attention? What are they?

a) Library wide?

b) Within the divisions?

6.2 Do you know of any informal organizations that exist within the Library? (Not recognized even semi-officially by Library or its units, Staff Association, etc.)

If so, why do they exist?

Do they have any effect on Library operations?

6.3 Do you see gaps between the designed organizational structure and the operating structure? If so, explain.

SECTION TWO: DESCRIPTION AND ANALYSIS OF LIBRARY ORGANIZATIONAL STRUCTURES AND RELATIONSHIPS

Two basic approaches to describing organizational structures and relationships are the organization chart and the narrative description. While a chart is an easily-understood, graphic representation of the organization, it can be enhanced by an accompanying narrative description of the major library units. The narrative may describe distribution of functions, working and reporting relationships, size of staffs, span of administrative control, and distribution of financial resources. Other useful comments can be made on physical facilities, key advisory groups, and contributions of formal groups such as committees and staff associations.

The analysis of organizational structures requires information concerning university and library objectives, needs, and trends, as well as basic criteria of organization performance. Criteria may include that the organizational structure be responsive to change, manage its resources effectively, be able to relate to institutional objectives, be able to self-evaluate, be simple and flexible allowing for institutional and individual growth, and define clearly responsibilities and accountability. An analysis of organizational structure also may include a listing of strengths and weaknesses of present practices in relation to these criteria.

This section contains the following documents.

ORGANIZATION CHARTS

Columbia University
University of Massachusetts
Iowa State University
University of California at San Diego
University of Pittsburgh
Yale University

DESCRIPTION AND ANALYSIS OF ORGANIZATIONAL SITUATIONS/FUNCTIONS

Report on Organizations, University of Rochester

-from final Management Review and Analysis Program report, June 1974

Final Report of Task Force on Organization and Staffing, Massachusetts Institute of Technology

-from Final Collection Analysis Project report, January 1978

The Library Organization and Branch, Departmental, and Professional School Libraries, University of Connecticut

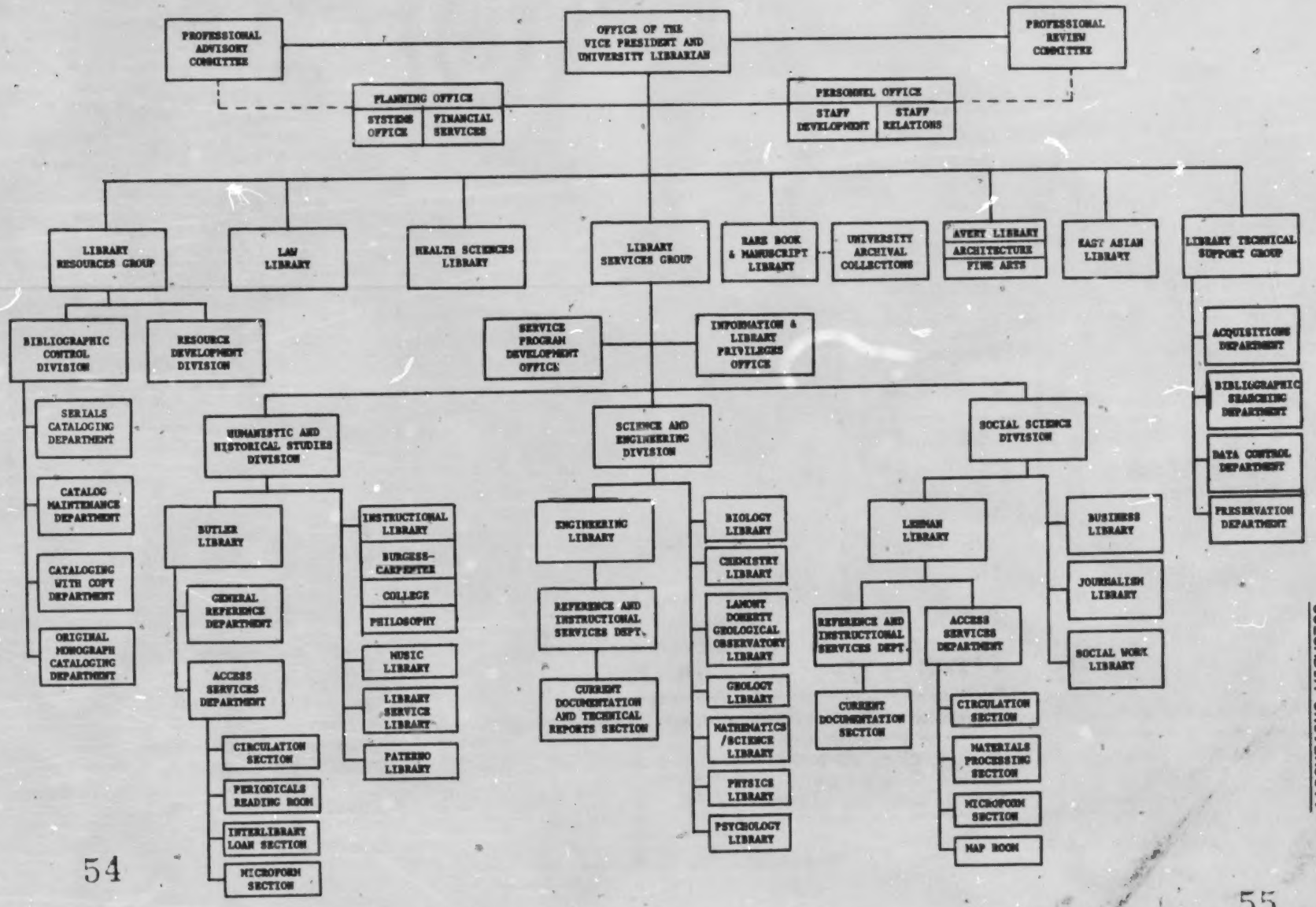
-from final Management Review and Analysis Program report, 1974

Organization, Washington State University Library

-from final Management Review and Analysis Program report, December 1974

Organization, Smithsonian Institution

-from final Management Review and Analysis Program report, 1974.

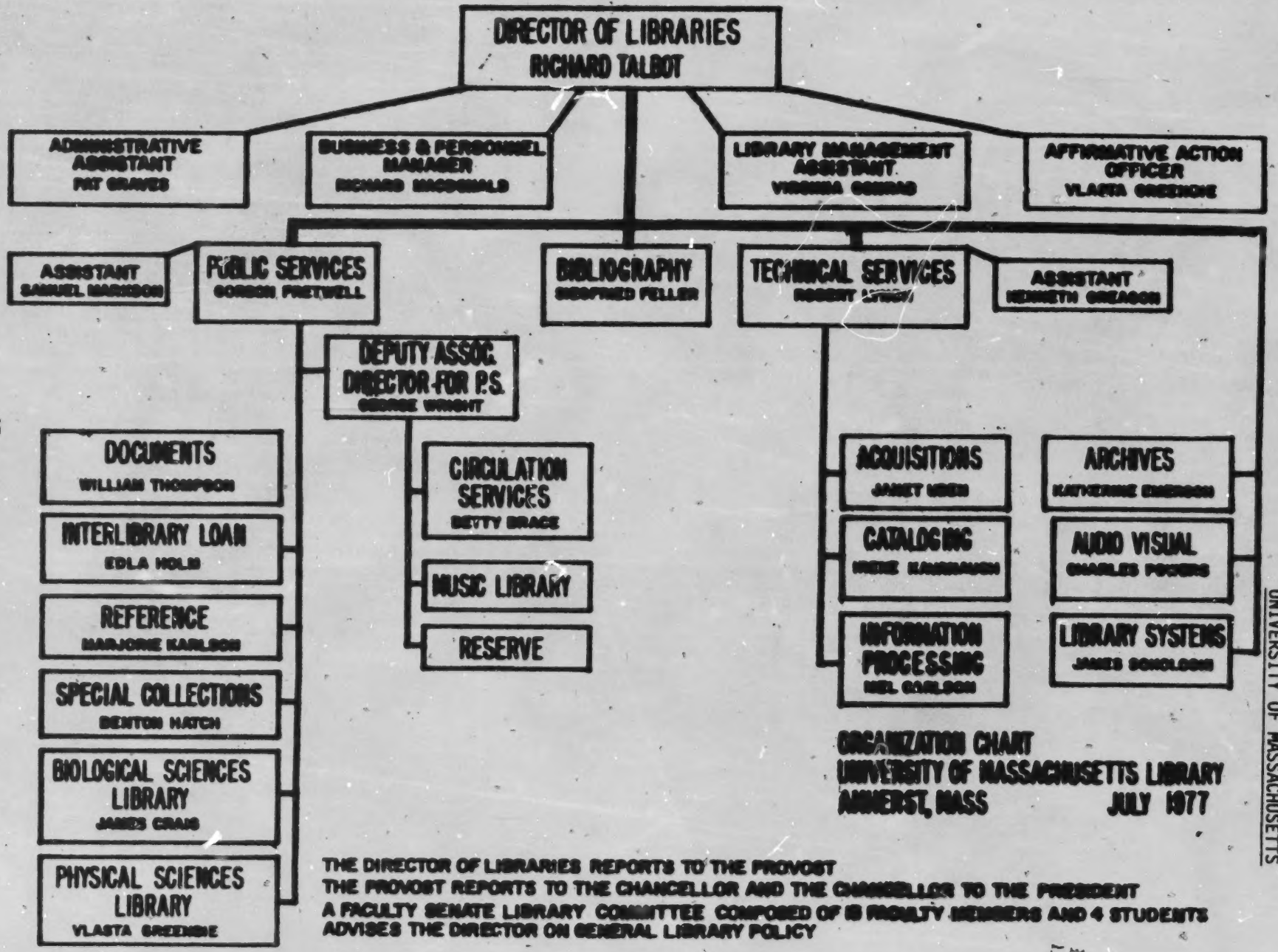


54

55

COLUMBIA UNIVERSITY LIBRARIES: ADMINISTRATIVE STRUCTURE

COLUMBIA UNIVERSITY

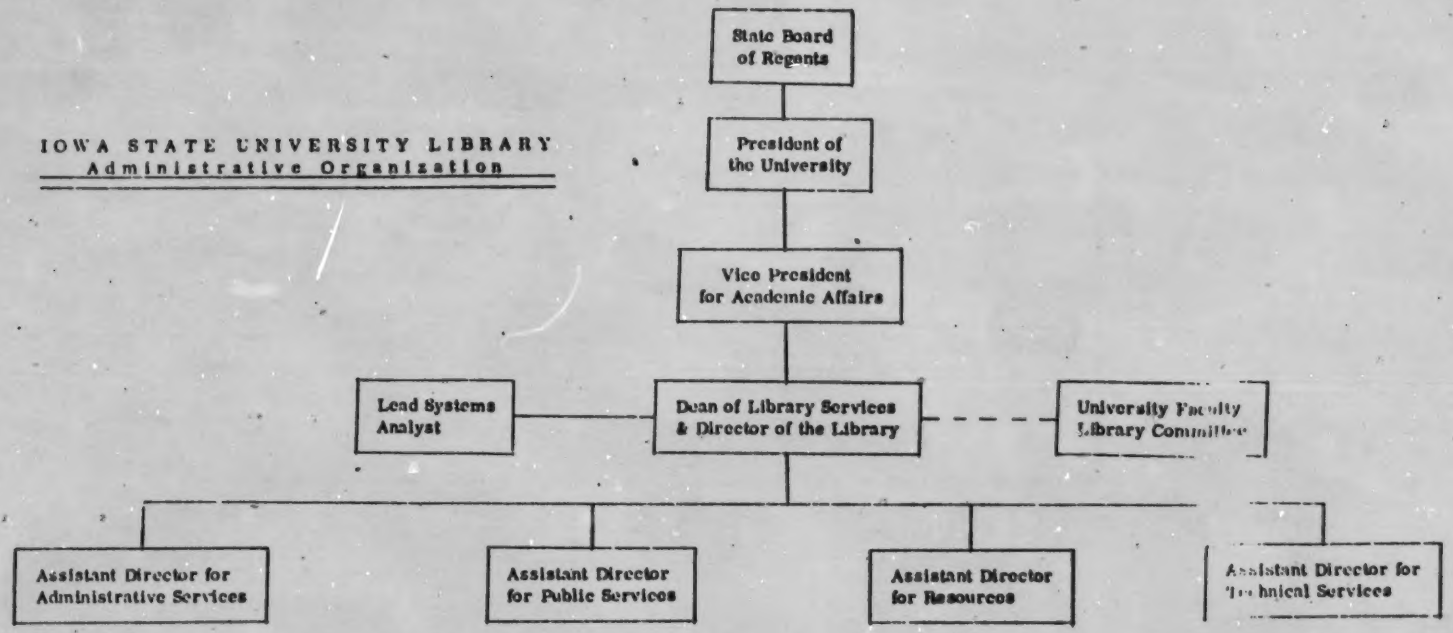


ORGANIZATION CHART
UNIVERSITY OF MASSACHUSETTS LIBRARY
AMHERST, MASS JULY 1977

UNIVERSITY OF MASSACHUSETTS

THE DIRECTOR OF LIBRARIES REPORTS TO THE PROVOST
THE PROVOST REPORTS TO THE CHANCELLOR AND THE CHANCELLOR TO THE PRESIDENT
A FACULTY SENATE LIBRARY COMMITTEE COMPOSED OF 15 FACULTY MEMBERS AND 4 STUDENTS ADVISES THE DIRECTOR ON GENERAL LIBRARY POLICY

IOWA STATE UNIVERSITY LIBRARY
Administrative Organization

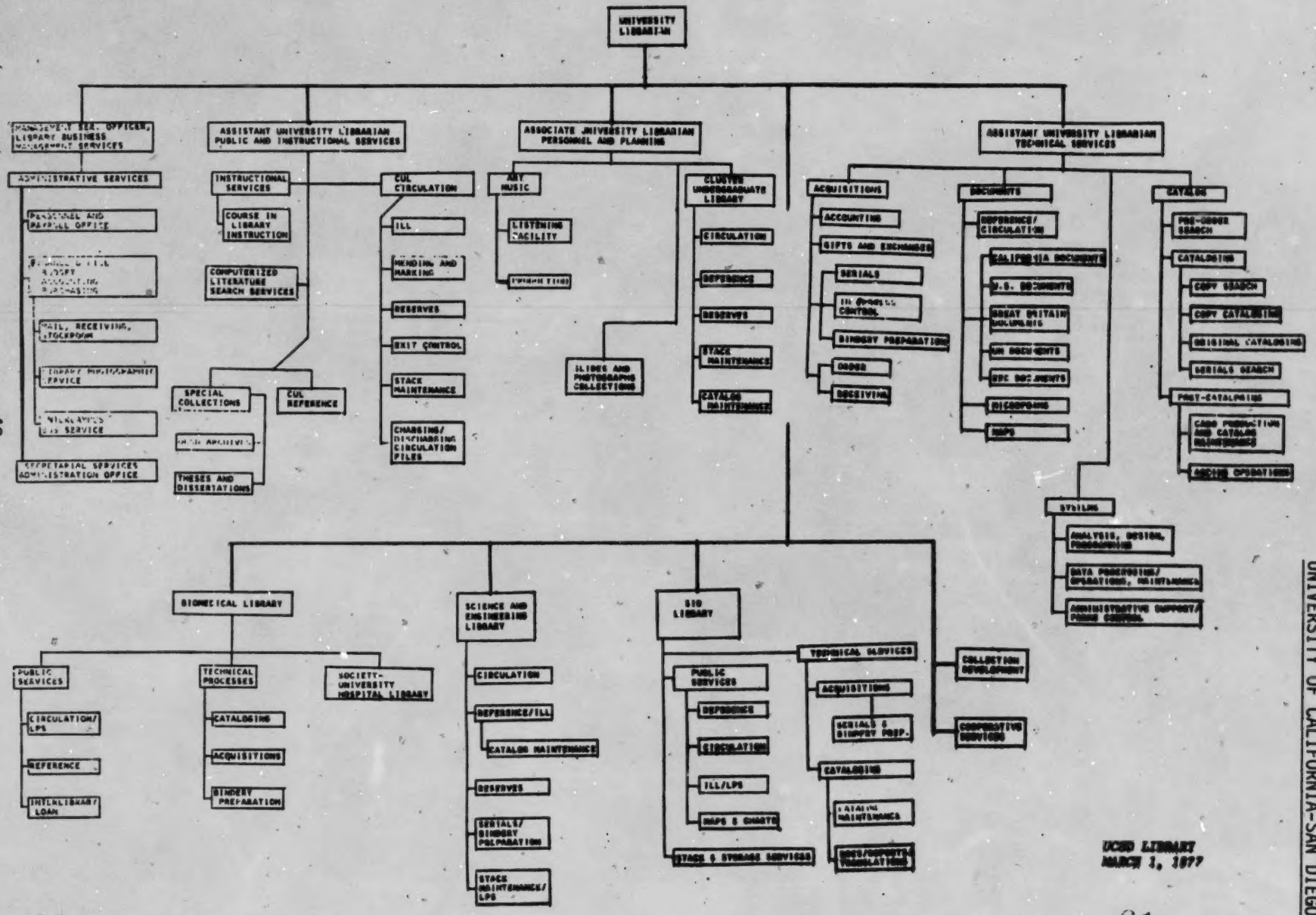

State Board of Regents
President of the University
Vice President for Academic Affairs
Lead Systems Analyst
Dean of Library Services & Director of the Library
University Faculty Library Committee
Assistant Director for Administrative Services
Assistant Director for Public Services
Assistant Director for Resources
Assistant Director for Technical Services

- Business Services
  - Bookkeeping Section
  - Supply Room/Bldg. Maintenance Section
  - Shipping/Rec./Mailing Section
- Personnel Services
- Photoduplication Service
- Undergraduate Lib. Instruction
- Veterinary Medical Library

- Circulation Department
  - Circulation Desk
  - Periodical Room
  - Stacks Maintenance Section
  - Reserve Section
- Government Publications Dept.
  - Map Room
- Media and Microform Center
- Reference Department
  - Reference Desk
  - Information Desk
  - Interlibrary Loans
  - Coordinator of Reading Rooms
    - Arch. R. R.
    - Econ. & Soc. R. R.
    - Engr. R. R.
    - Mathematics R. R.
    - Physical Sciences R. R.

- Biol. Sci./Agr. Bibliog.
- Humanities Bibliographer
- Phys. Sci./Engr. Bibliog.
- Social Sci. Bibliographer
- Special Collections
  - University Archives

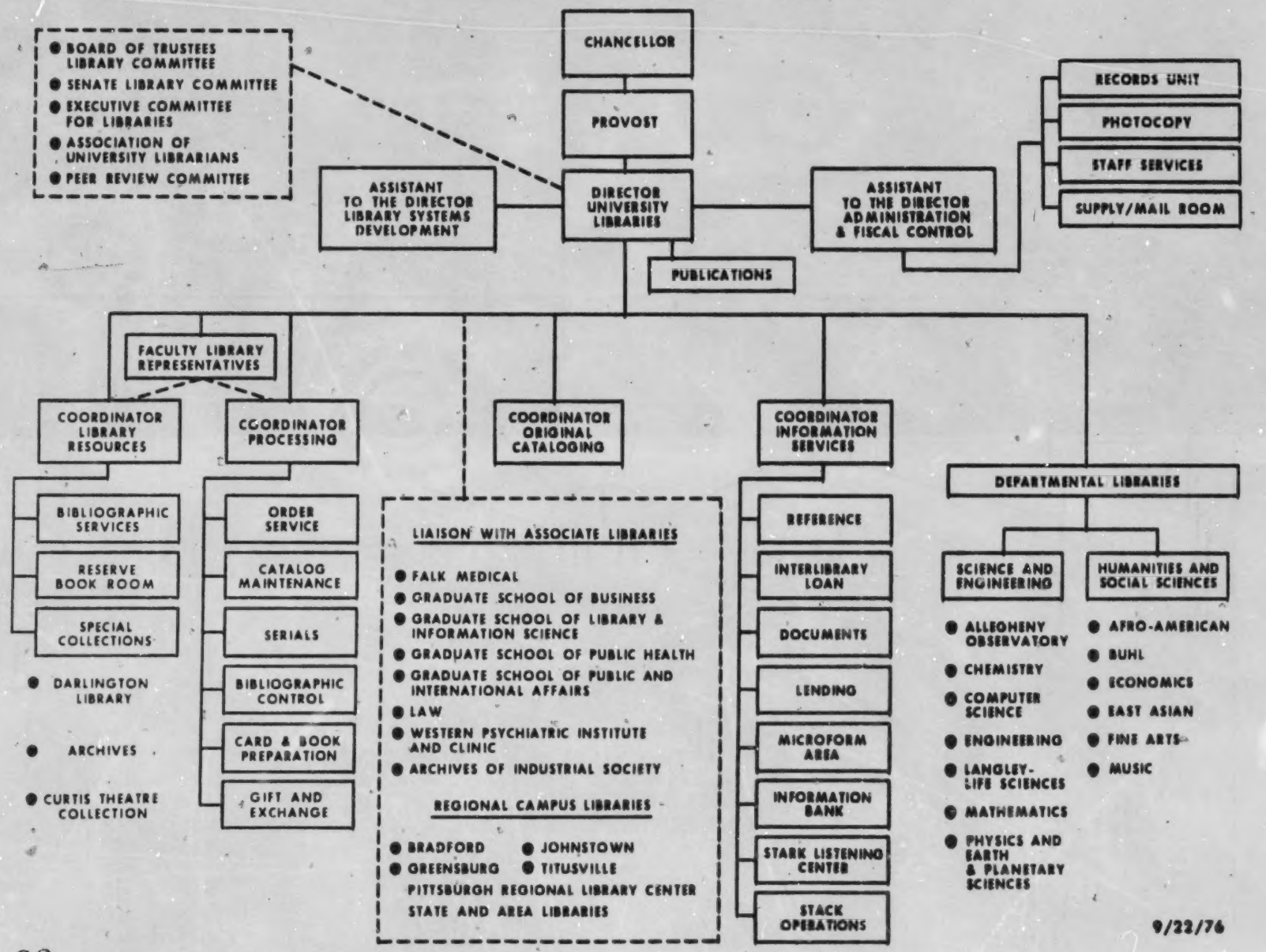
- Monographs Department
  - Search/Catalog Section
  - Approval/Continuation Section
  - Original Cataloging Section
  - Maintenance/Preparation Section
  - OCLC Coordinator
- Order Department
  - Ordering/Receiving Section
- Serials Department
  - Serials Records/Acquisitions Sec.
  - Serials Cataloging Section
  - Gifts and Exchanges Section
  - Bindery Preparation Section



UCSD LIBRARY
MARCH 1, 1977

UNIVERSITY OF CALIFORNIA-SAN DIEGO

-49-


UNIVERSITY LIBRARIES UNIVERSITY OF PITTSBURGH
BOARD OF TRUSTEES LIBRARY COMMITTEE
SENATE LIBRARY COMMITTEE
EXECUTIVE COMMITTEE FOR LIBRARIES
ASSOCIATION OF UNIVERSITY LIBRARIANS
PEER REVIEW COMMITTEE
CHANCELLOR
PROVOST
ASSISTANT TO THE DIRECTOR LIBRARY SYSTEMS DEVELOPMENT
DIRECTOR UNIVERSITY LIBRARIES
ASSISTANT TO THE DIRECTOR ADMINISTRATION & FISCAL CONTROL
RECORDS UNIT
PHOTOCOPY
STAFF SERVICES
SUPPLY/MAIL ROOM
PUBLICATIONS
FACULTY LIBRARY REPRESENTATIVES
COORDINATOR LIBRARY RESOURCES
COORDINATOR PROCESSING
COORDINATOR ORIGINAL CATALOGING
COORDINATOR INFORMATION SERVICES
DEPARTMENTAL LIBRARIES
BIBLIOGRAPHIC SERVICES
RESERVE BOOK ROOM
SPECIAL COLLECTIONS
DARLINGTON LIBRARY
ARCHIVES
CURTIS THEATRE COLLECTION
ORDER SERVICE
CATALOG MAINTENANCE
SERIALS
BIBLIOGRAPHIC CONTROL
CARD & BOOK PREPARATION
GIFT AND EXCHANGE
LIAISON WITH ASSOCIATE LIBRARIES
FALK MEDICAL
GRADUATE SCHOOL OF BUSINESS
GRADUATE SCHOOL OF LIBRARY & INFORMATION SCIENCE
GRADUATE SCHOOL OF PUBLIC HEALTH
GRADUATE SCHOOL OF PUBLIC AND INTERNATIONAL AFFAIRS
LAW
WESTERN PSYCHIATRIC INSTITUTE AND CLINIC
ARCHIVES OF INDUSTRIAL SOCIETY
REGIONAL CAMPUS LIBRARIES
BRADFORD
JOHNSTOWN
GREENSBURG
TITUSVILLE
PITTSBURGH REGIONAL LIBRARY CENTER
STATE AND AREA LIBRARIES
REFERENCE
INTERLIBRARY LOAN
DOCUMENTS
LENDING
MICROFORM AREA
INFORMATION BANK
STARK LISTENING CENTER
STACK OPERATIONS
SCIENCE AND ENGINEERING
ALLEGHENY OBSERVATORY
CHEMISTRY
COMPUTER SCIENCE
ENGINEERING
LANGLEY-LIFE SCIENCES
MATHEMATICS
PHYSICS AND EARTH & PLANETARY SCIENCES
HUMANITIES AND SOCIAL SCIENCES
AFRO-AMERICAN
BUHL
ECONOMICS
EAST ASIAN
FINE ARTS
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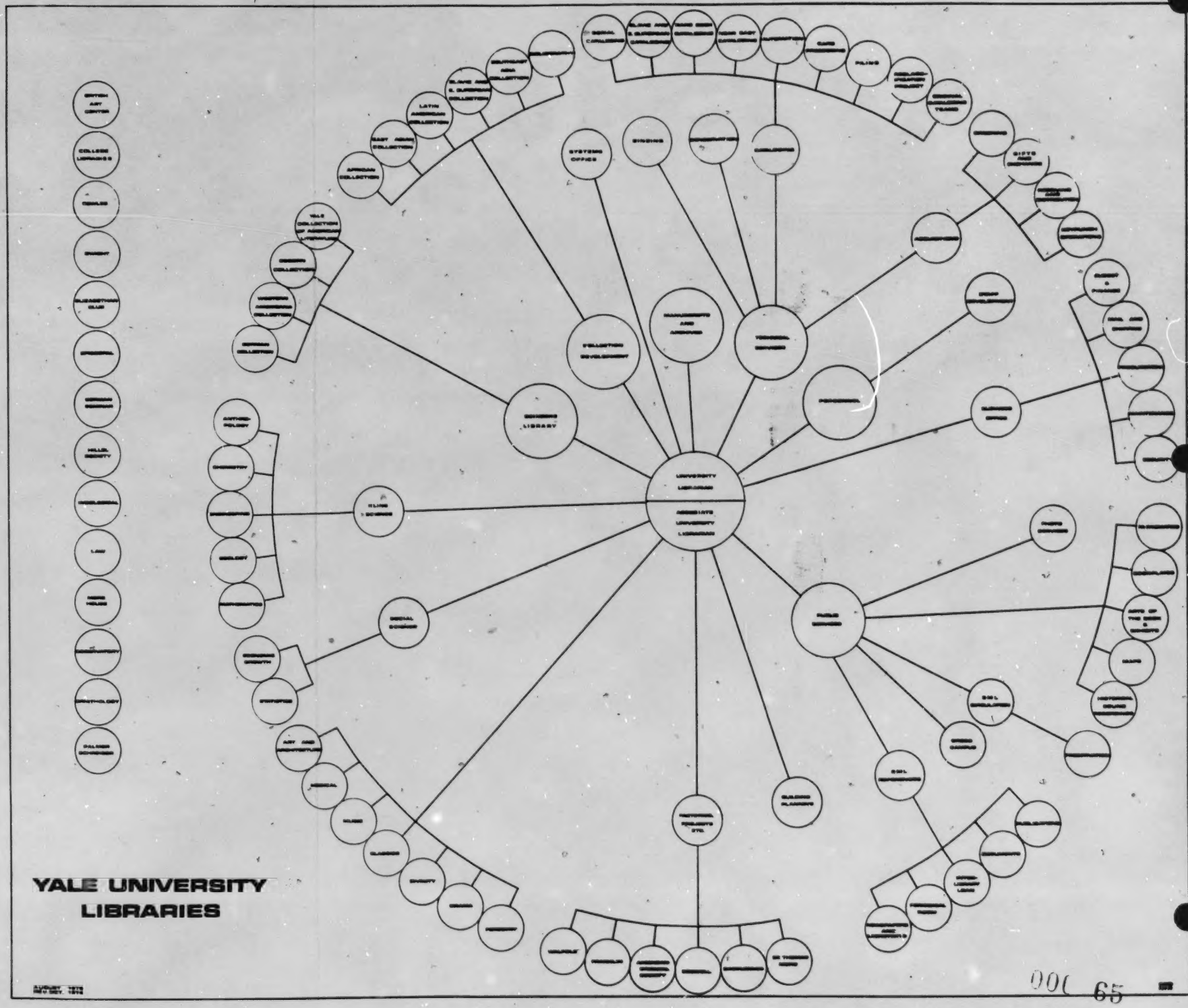
YALE UNIVERSITY
LIBRARIES

INTRODUCTION AND METHODOLOGY

The Organization Task Force reviewed and analyzed the current organization of the River Campus libraries, identified organizational strengths and weaknesses, and made recommendations for improvement.

In doing this, the following areas were studied: the position of the Library in the University's organizational structure, the formal structure of the Library and its historical development, committees and other groups within the Library, and the organizational process within the Library, e.g., the rationale and philosophy underlying its structure, interrelationships, and decision-making techniques.

Information has been obtained from seven major sources:

(1) Interviews with the Director and Associate Director of Libraries, and with department heads.

All interviewees received the questions to be asked of them prior to the interviews. They were invited to introduce any information which was not dealt with by these questions and which they felt would be relevant to the examination of the organization of the River Campus libraries.

(2) Staff questionnaires on committee work and other groups within the Library.

The entire staff was asked to respond to a questionnaire pertaining to committee work in the Library. The questionnaire also dealt with the Staff Association and the role the Library staff would like to see it play. Of the 123 questionnaires circulated, the Task Force received 79 responses, representing a 64% rate of return.

(3) Organization charts for the University of Rochester Libraries from 1965 to present. (See Appendices I-III.)

(4) Organization charts from all Library departments. (See Appendices IV-XIV.)

(5) Contacts with three service units of the University.

The Task Force contacted Directors of three centers on campus: N. Cattat of the Instructional Media Center, V. Swoyer of the Computing Center, and J. Sullivan of the Information Systems Center. These units were chosen because of their potential influence on the Library as an information-dispensing organization.

(6) Background information from the MRAP Study Team.

(7) Literature dealing with organization. (See Selected Bibliography.)

THE LIBRARY WITHIN THE UNIVERSITY

The Director of Libraries is the chief administrative officer for libraries in the University. According to the University organization chart, he reports to the President, but in practice he reports to R. France, Vice-President for Planning and Director of Budgets. Informal meetings of the Director with Mr. France often include President Sproull. In some universities, the library director reports to a vice-president for academic affairs, thus giving the Library closer ties with academic departments, but at the same time making it necessary to go to a second person for budget matters. Because Mr. France is Director of Budgets in this University as well as being closely allied with academic units, the Library's reporting relationship is generally a satisfactory one.

The Library also relies upon other channels of communication to the University administration. The Trustees' Visiting Committee, appointed by the University's Board of Trustees, looks at issues and problems facing the Library. In general, members of the committee are suggested by the Director, who also determines the problem areas for consideration and provides background documentation on these. The Committee meets once a year, studying and visiting the Library for a two-day period, at the conclusion of which it reports to the Chancellor.

The Library has an informal and undefined relationship with three units of the University which have potential influence on the Library as an information-dispensing organization. These are the Information Systems Center, the Computing Center, and the Instructional Media Center.

Currently three Library departments are working on automated projects which require the services of the Information Systems Center. Generally the head of the department involved has operational responsibility for the project, with the Associate Director providing coordination. In one instance, a member of another Library department assisted in implementing a project by providing technical expertise and informal liaison with the Center.

The Library also has contacts with the Computing Center. These frequently relate to information, such as data from the U.S. Bureau of the Census, which is available on tape at the Computing Center. However, there is no official liaison between the Library and the Center to facilitate use of this information.

The Instructional Media Center (IMC) is another unit with which the Library works, and several Library departments are using various IMC services.

The Center is currently being studied by a University committee, of which the Director of Libraries is a member and the Associate Director an unofficial consultant. The Committee on the Instructional Media Center, formed by President Sproull in the summer of 1973, has not yet made its report. According to the Library Director, it has not expressed a definite attitude, either positive or negative, towards closer affiliation of the Center with the Library. The Library administration feels that it would like to see the Center and the Library linked more closely physically, if not administratively.

The Library maintains contact with faculty and students by several methods. One of the more formal means is the Faculty Library Committee which was reconstituted in 1973 and now reports to President Sproull, with the Director of Libraries acting in an ex-officio capacity. In the past, the Committee was involved in discussion of specific problems, such as circulation policy and building plans. Although the actual role and functions of the Committee are still evolving, it will deal with general planning issues under its new charge.

The Library relies to a great extent on subject bibliographers in its relationships with colleges and academic departments.[1] The relationship of these librarians to the colleges and academic departments they serve tends to be informal and greatly dependent upon the personalities and desires of the librarians and faculty involved. Presently, there is no formalized means within the Library organization for obtaining input from faculty or students, although some departmental librarians attend faculty

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[1]Subject bibliographers include librarians in departmental libraries and those who are subject specialists in the Reference Department.

meetings and rely upon them for input. Those academic departments which are served by departmental libraries seem to have a closer relationship to the Library than those which are served by subject bibliographers.

FORMAL STRUCTURE OF THE LIBRARY

Historical Development

The Library has an organizational structure similar to that of many other academic libraries: a central research library consisting of technical services and reader services units and a department of rare books, and several departmental libraries located either in the main Library or in other campus buildings.[2] The Library officers are the Director, Associate Director, and Assistant Director. The organizational structure seems to have developed historically rather than by master plan, and no continuing review of organizational growth seems to have taken place. Personnel changes in top administration have also left their impact on the organizational structure. There have been four directors and acting directors and five associate or assistant directors in the last ten years.

In 1962, the first Associate Director of Libraries was appointed and, in 1966, the first Assistant Director (then called Assistant Librarian for Administration). The Associate Director had responsibility for the public service departments and the Assistant Director was responsible for accounting and statistics, budgets, personnel, supplies, and equipment. Ben C. Bowman was appointed Director of Libraries in 1969. He appointed an Assistant Director and an Associate Director for Reader Services. In 1972 the Associate

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[2]See Appendices I through III for organization charts for 1965, 1970, and 1974.

Director for Reader Services resigned. During the period 1969 to 1972, the three technical services departments reported to the Director; there was no Associate Director for Technical Services, although the establishment of such a position was considered. In June 1973, Sul H. Lee was appointed Associate Director, with all departments reporting to him. This was the result of a decision that the Library would not have two Associate Directors. The Director mentioned several reasons for this decision: the Library budget could not support two Associate Directors; many problems could be solved jointly by department heads; and the Library's increasing reliance on consortia for automated procedures in technical services areas reduced the need for an Associate Director for Technical Services.

The Assistant Librarian for Administration had responsibility for personnel work from 1966 to 1968. The Library had a Personnel Officer from 1968 to 1970, after which time responsibility for personnel work was divided between the department heads and Library administration.

The Library had an Information Systems Office from 1966 to 1970. This Office was closed because it was felt by the Director that Library consortia were developing automation projects in which the Library could participate, thus making the need for local automation activities unnecessary.

The Library has affiliations with several consortia, including the Five Associated University Libraries (FAUL), the Rochester Regional Research Library Council (RRRLC), and Center for Research Libraries (CRL). Members of the Library staff serve on committees and also help to provide some services sponsored by these groups. These groups have had a decided impact on the organization and staffing of the Library. For example, the Interlibrary Loan and Photoduplication sections have a contract with New York State to

provide service through the New York State Interlibrary Loan Network (NYSILL) to the RRRLC region. Affiliation with the Ohio College Library Center (OCLC) through the Library's membership in FAUL has resulted in the institution of on-line cataloging procedures in the Library and the gradual reduction of personnel in the Catalog Department.

Analysis of the Present Organization

Organization of the Library should reflect its overall objectives and should facilitate effective response to University information needs. Because the objectives of the Library are unwritten and generally unclear, it is difficult to determine whether the present organization of the Library reflects them. One problem area seems to be that the Library does not always allocate staff in numbers that reflect the University's major program emphases.

There is some confusion in regard to relationships and reporting channels between department heads and the Library administration. One important factor contributing to this has been the turnover in Library administrative personnel in the last decade. The roles of the Associate and Assistant Director are not clearly understood and the degree of involvement of the Director and Associate Director in operational matters has not been completely defined. Another factor has been the change in the reporting relationship of technical services units, which now report to the Associate Director rather than Director, as in the past.

In general, the hierarchical organization of sections within Library departments is logical.[3] At present, however, there are few organizational

[3]Some organizational arrangements, such as the grouping of sections under the Reference Department, may need further study, however.

means for grouping departments or individuals with related functions. All department heads meet together with Library administrators on an irregular schedule, and the heads of technical and reader services departments meet with the Associate Director to discuss matters of common concern. Little effort is presently made to bring together other individuals involved in like activities, such as those responsible for reserve reading service, to review common problems and exchange information.

Decision-Making in the Library

Major decisions in the Library are made by the Director and/or the Associate Director. Although it is widely felt that many decisions are made at an appropriate level, there is agreement by department heads and Library administrators that when the level is inappropriate, it is because they are made on a higher level than necessary. However, both the Director and Associate Director specifically mentioned that they want to delegate authority. Several department heads indicated that they would like to assume more responsibility and felt that more participation of staff with relevant information and experience to offer would be useful in decision-making.

Library department heads meet with Library administrators, as described above, both as a group, and in groups representing technical and public services. The functions of these groups are still emerging, but they are not regarded as decision-making bodies. Currently they function primarily as means of communicating information.

There is also wide agreement among department heads and Library administrators that decisions often are not made on a timely basis. One prerequisite to timely decision-making would be a more effective structure for

supplying management information. Many decision-makers feel that they do not regularly receive the information they need and that they must go out and search for it.

Centralization versus Decentralization

Some functions within the Library are centralized, while others are not. Interviews with department heads and Library administrators did not reveal a strong preference for either further centralization or further decentralization. There seemed to be agreement that technical services and certain auxiliary public services, such as interlibrary loan and photoduplication, should be centralized for maximum efficiency. The only further centralization of public services suggested was the creation of a central science library.

A study of Library functions transferred from one department to another during the last five years does not show a trend towards either centralization or decentralization. Currently, some departments are organized according to the function they perform (such as Catalog, Acquisitions, or Circulation), some according to subject (such as Education Library, or Art Library) and some according to form of material (such as Microtext). Because the current organization of the Library is not based on a single principle, the impact of specific changes may be unclear. For example, the transfer of serials cataloging from the Catalog Department to the Serials and Binding Department can be regarded as either a decentralization of cataloging or as a centralization of serials processing.

Over the past ten years, there has been a growth in the number of departmental libraries. Since 1964, new libraries have been established for management, education, and Asian studies. Also, in 1968, the Chemistry Department collection was brought into the Library system. The fact that

maintaining departmental libraries is expensive is recognized throughout the Library. However, there is strong feeling that departmental libraries provide important services. Future proposals for departmental libraries will have to be evaluated on the basis of increased costs versus improved service. There is at present no written policy on the existence or creation of departmental libraries. Library administrators feel that there should be. They also point out that changing technology will affect the need for departmental libraries as access via computers and document delivery service to Library collections decreases the need for users to come to the Library in person.

A number of departmental reading rooms and special collections exist which are supported in whole or in part by the Library; all of these are physically located outside of the Library. They include the Computing Center Library, Economics Reading Room, the English Seminar, the Nuclear Structure Research Laboratory collection, the Laser Fusion Feasibility Project collection, the Medieval House collection, and the Cyclotron Seminar. They differ from departmental libraries in that they are not considered part of the library system, and the degree of control over them which is exercised by the Library ranges from minimal to nonexistent.

The Library's treatment of materials in these reading rooms and collections varies considerably. In some cases, material is purchased by the Library and cataloged for the reading room, with full records in the public card catalog. In other cases, purchased material is cataloged for Rush Rhees and charged out through the circulation system. Some purchased material is not cataloged at all, but simply sent to the reading room without further processing. Serials are bound by the Library for some reading rooms.

In some cases, a policy has been established that all materials in the reading rooms must be duplicated in the main Library.

The primary questions concerning reading rooms are: (1) Do the services they offer outweigh their cost? (2) Should the cost of purchasing and processing materials for these reading rooms be borne by the Library or by individual academic departments?

Committees and Other Groups within the Library

The Director of Libraries has appointed three standing committees: the Advisory Committee on Collection Development (CCD), charged with the formulation of a comprehensive policy for collection development; the Advisory Committee on Program Evaluation and Priorities (PEP), intended to develop a means for evaluating priorities and existing or proposed programs; and the Advisory Committee on Conditions of Employment and Staff Development (ACCESD).

Department heads and non-supervisory professional staff are represented on the committees, but support staff are not. The Director serves as an ex-officio member of these committees. The purposes of these committees is not clearly defined or well understood by the general staff or, in some cases, by the committee members themselves. When asked, "To your knowledge, what committees are currently functioning in the Library?" most staff members were unable to name the standing committees. The Advisory Committee on Collection Development is in recess for the duration of the MRAP study. There is uncertainty as to the current status of the other committees. Some members think they have been recessed permanently, although Library administrators consider them to be groups temporarily in recess. Staff members

not actively involved in committee work receive very little information concerning the intent or findings of these groups.

In general, both administrators and staff are dissatisfied with the present committee structure. There are different viewpoints within the Library concerning working groups and approaches to problem-solving. One view is that middle-management people with expertise and interest should be brought together to review, anticipate, and identify problem areas. Such groups need not be representative of the entire staff. Another opinion is that the task force concept is a more effective approach to problem solving. Task forces could be formed as needs were identified, and dissolved when they had completed their work. All levels of staff could be encouraged to participate. Many staff members feel that task forces could be more effective than committees.

When surveyed as to what committees or task forces should be established in the Library, several staff members suggested committees to study or coordinate Library orientation programs for students, and to promote better public relations. Need for a continuing form of PEP was another frequent response. The committee most frequently cited was one which would study staff development and training practices. This need was expressed, in particular, by non-professional staff.

The University of Rochester Library Staff Association is a group within the Library whose stated purpose is "...to promote the welfare of its members through social and educational activities, to provide a means of communicating staff opinion, and in general to further the interest of the Library."[4] Social activities of the Association are regarded by the staff as the most

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[4]Rochester, N.Y., University, Library Staff Association, Bylaws (April 1970), p. 1.

effective area of activity, providing otherwise unavailable opportunities for informal social contacts. The Association has sponsored educational events, such as a seminar on library automation. In addition, it provides a tour, which is presently the only Library-wide orientation for new employees, and it publishes a newsletter. Officers of the Association also serve as a liaison between staff and Library administration by communicating staff opinion and minor complaints. Although a number of staff members wish the Association would become more involved in staff relations, it is not empowered to handle major grievances or improve working conditions.

BACKGROUND AND RATIONALE FOR RECOMMENDATIONS

The Task Force identified three major areas of concern:

I. Relationships between the Library and University need improvement.

II. The present organizational structure of the Library is not clear.

III. The organizational structure of the Library does not bring together and utilize the skills and perspectives needed for effective management and decision-making.

I. RELATIONSHIPS BETWEEN THE LIBRARY AND THE UNIVERSITY NEED IMPROVEMENT

At present, the Library's relationship to the University administration seems to be satisfactory. However, relationships with other service and information-dispensing units are generally informal and undefined. Appointment of Library liaison officers for the Instructional Media Center, the Computing Center, and the Information Systems Center would allow for a coordinated exchange of information with these units and provide a central source of information about them for Library staff.

The Library receives input in an informal and sporadic way from students and faculty concerning their informational and service needs. Efforts should be made to provide continuing and consistent communication channels in this area, and to encourage their use. These might include holding regular meetings with faculty Library representatives, having Library staff attend faculty meetings, or forming a student committee on Library services and activities. These mechanisms should be used both to provide the Library with information on the needs and expectations of the University community and to provide that community with information on the Library

At present the Library staff knows little about the composition and functions of the Faculty Library Committee and the Trustees' Visiting Committee. Although the Library staff is not directly involved with these committees, it should be made aware of their purposes, membership, and activities.

The Library should also take a more active role in influencing University decisions which affect the Library's organization or functions, by making sure that its position and reasoning on issues are known and understood. An example of such an issue is the current study of the Instructional Media Center referred to previously.

II. THE PRESENT ORGANIZATIONAL STRUCTURE OF THE LIBRARY IS NOT CLEAR

Although the present organization of departments and sections within the Library is widely understood, responsibilities and reporting relationships of individual positions are not. This is especially true of the responsibilities of Library administrators, and the reporting relationships of department heads in relation to the administrators. A well defined and

regularly reviewed organizational structure would help to alleviate these problems.

A criterion for evaluating the organization of the Library is the degree to which it reflects the objectives of the Library and the University Similarly, unit organization should reflect the objectives of the unit and the Library. Because the objectives of the Library and most Library units are unwritten and unclear, this criterion generally cannot be used.

In the past, there has been no policy concerning the establishment and growth of departmental libraries and reading rooms. These units are expensive, due to labor costs and the cost of duplicating materials. These costs should be evaluated in relation to the services provided.

III. THE ORGANIZATIONAL STRUCTURE OF THE LIBRARY DOES NOT BRING TOGETHER AND UTILIZE THE SKILLS AND PERSPECTIVES NEEDED FOR EFFECTIVE MANAGEMENT AND DECISION-MAKING

Currently, department heads meet as a group only when a meeting is called by the Director or Associate Director. These meetings are primarily used to communicate administrative information; the group does not act as a problem-solving body.

Decision-making is primarily concentrated in the Library administration. Although department heads and Library administrators agree that more authority should be delegated to the department head level, this has generally not occurred. As a result, the skills and experience of department heads are not utilized as fully as they could be. Some problems have been postponed or not dealt with at all. Decisions have sometimes been made on other problems without sufficient input from staff members directly involved. Therefore, factors relevant to the problem may not have been considered before action was taken.

Because many department heads feel there is no effective channel through which they, as a group, can express their opinions on matters of Library policy, they attempt to do so individually. One method used is to send written memos or recommendations to the Library administration. However, there is little administrative response to these.

To improve some of these matters, the locus of problem-solving and policy formation should be shifted to a broader group, an administrative council consisting of the Director, the Associate Director, the Assistant Director, and all department heads. The council should provide a forum for discussion of both interdivisional and Library-wide problems and issues. This body should pursue alternative solutions to problems until agreement is reached on action to be recommended. Recommendations would then be presented to the Director. The group should also monitor progress made in implementing its recommendations. (Examples of issues which might be considered are the function, organization, and staffing of the gift section, or evaluation of purchase of Library materials through approval plans and possible alternatives.) The council would be chaired by the Director. A vice-chairman should be designated whose functions would be to prepare agendas, to call meetings, and to preside in the absence of the chairman. Minutes should be prepared and distributed promptly. The council should meet once a month, and more often if necessary. In recognition of the time burden on council members, efforts should be made to gather and prepare data on issues before discussion by the council. One mechanism for doing this would be the use of task forces.

Use of the task force approach to problem-solving has proven to be effective in the Library, both in MRAP and in sub-committees of the Advisory

Committee on Collection Development, which were in effect task forces. This method should continue to be used, with task forces being appointed by and reporting to the administrative council as specific needs arise. However, certain areas such as staff development and training, program evaluation, and collection development need continuing evaluation and review. Therefore, in these areas it would be valuable to have standing committees as subgroups of the administrative council, to whom their reports would be submitted. All levels of staff should be represented on these committees and task forces. In the past, there has been little administrative response to recommendations and reports of committees. The administrative council should respond promptly to all work presented to it, in order to encourage an increasing number of staff to be willing to invest time and effort in committee and task force work.

The establishment of the positions of Coordinator of Public Services and Coordinator of Technical Services could facilitate bringing together staff members involved in similar activities. These could be elective positions. Their primary functions would be to provide regular channels for communication, and to expedite investigation of problems which may otherwise be neglected due to lack of time. The coordinators would recommend specific areas for task force investigation to the administrative council. The coordinators would also hold regular meetings of their respective groups with the Associate Director and could call meetings of sub-groups which would benefit from getting together to exchange information. An example of such a sub-group might be all staff members responsible for searching.

Although department heads want to be involved in the process of hiring new employees, more than half regard the lack of a personnel officer in the Library as a problem. Some areas which should be receiving attention are

being neglected because of the present lack of coordination in the Library's personnel activities. One of the most important of these is staff development, an area of concern and interest to a large proportion of the staff and to Library administration. There is a need to provide better coordination of these functions within the Library.

The absence of an information systems office in the Library has not allowed for coordination of activities in the area of automation. For example, there are currently three Library departments working separately on projects involving the Information Systems Center. An information systems officer could coordinate these efforts, as well as provide expertise to members of the Library staff who need it. This officer would also be able to evaluate the feasibility of initiating information systems programs locally, or relying on networks for these. The functions of the officer should also include contacts with groups such as FAUL and RRRLC, and with some University units. It should be emphasized that this officer should look at all types of information systems, both manual and automated; automation activities should not be the sole function of the officer.

Currently, there is no method for professional staff without supervisory responsibilities to exchange information on developments in librarianship, or to provide input on policy questions within the Library. It is important to provide such channels, and to allow for professional development and participation through other means than advancement to administrative positions.

INTRODUCTION

The Task Force was instructed to examine the following current operating practices of the M.I.T. Libraries' collection development function:

1. the organizational aspects, including the roles, responsibilities and coordination of involved staff members and units.
2. the current materials selection practice, including the role of faculty, researchers and students.
3. the availability and usefulness of selection policies and their relation to collection objectives and Institute programs.
4. the flow of information about collection development activities to, from, and within the Libraries, especially as it relates to interdisciplinary programs.
5. the levels of collection responsibility to the various components of the M.I.T. community (for example, graduate and undergraduate, teaching and research, special programs).

Once these points were examined, we were instructed to assess the strengths and weaknesses of current practice, and to formulate implementable recommendations for problem areas.

The Task Force began by reviewing collection policy statements from the divisional libraries in the file of the Collections Development Librarian, and other background material assembled in the Project Office. The Task Force also reviewed the organization charts of all divisional libraries and the central administrative units, out of which evolved the composite organization chart of collection development function as illustrated in Figure 1. The Task Force members also agreed to concentrate on the overall organizational structure and the intellectual and consultative aspects of selection rather than the mechanics of the ordering, claiming, and receiving process, except as major problem areas might be identified.

The major effort of the Task Force was spent in developing the methods and tools for data gathering. We placed primary emphasis on obtaining information from all those librarians in the system who have active and ongoing selection responsibilities. This involved developing a detailed questionnaire to be filled out by each subject selector and branch librarian. The results of this questionnaire were reviewed carefully by the Task Force. Following this, we formed teams to interview the one person in each divisional and branch library who has principal selection responsibility. Interview summaries were were then written. Another detailed questionnaire was prepared for the Collections Development Librarian, Jutta Reed. Mrs. Reed was then interviewed by the entire Task Force. Appendices III and IV contain the questionnaires.

Those aspects of the charge concerning the role of library users in the selection process and the levels of collection responsibility suggested that we survey users in some way. Unfortunately, time restraints precluded in-depth interviews with individual faculty, researchers, and students. Since the Task Force on Collection Effectiveness was preparing an Opinion Survey, we saw an opportunity to find out about user interest in and satisfaction with influencing selection in the Libraries. Though a summary of responses to our questions is included here, full discussion of the Opinion Survey methodology and results will be found in the Report of the Task Force on Collection Effectiveness. The Study Team will draw further conclusions on the level of collection responsibility to various components of the M.I.T. community (no. 5 above) in their Final Report.

In the opinion of the Task Force, these data gathering efforts proved to be very effective. The recommendations which evolved out of this process were the result of a fairly clear-cut consensus on future directions for organization and staffing of the collections function in the M.I.T. Libraries.

BACKGROUND

Historically, the five divisional libraries of the M.I.T. Library System have operated in an independent manner. This tradition of autonomy of the divisional libraries in matters relating to internal operations is clearly reflected in the differing patterns of organization and staffing of the collection function.[1]

These differing approaches can be attributed to a number of factors: the nature of the material acquired by each library; the different ways each library obtains faculty and student input into acquisitions decisions; the fact that some libraries have a clearly understood policy of responding primarily to demands of special research and current teaching programs, while others are primarily discipline or subject oriented; and, finally, the operating "style" which has evolved in each Divisional Library.

ORGANIZATION

Organization and staffing of the collection development function is illustrated in Figure 1. Librarian and non-librarian staff involved in selection decisions and preparation of order forms are listed administratively under each divisional library. Organization of the collection function in the divisional libraries falls roughly into two patterns. In two of the divisional libraries, Dewey and Rotch, selection responsibility has been largely centralized, except for special collections (e.g. Industrial Relations and Rotch Visual Collections). In these libraries, the selectors have considerable autonomy

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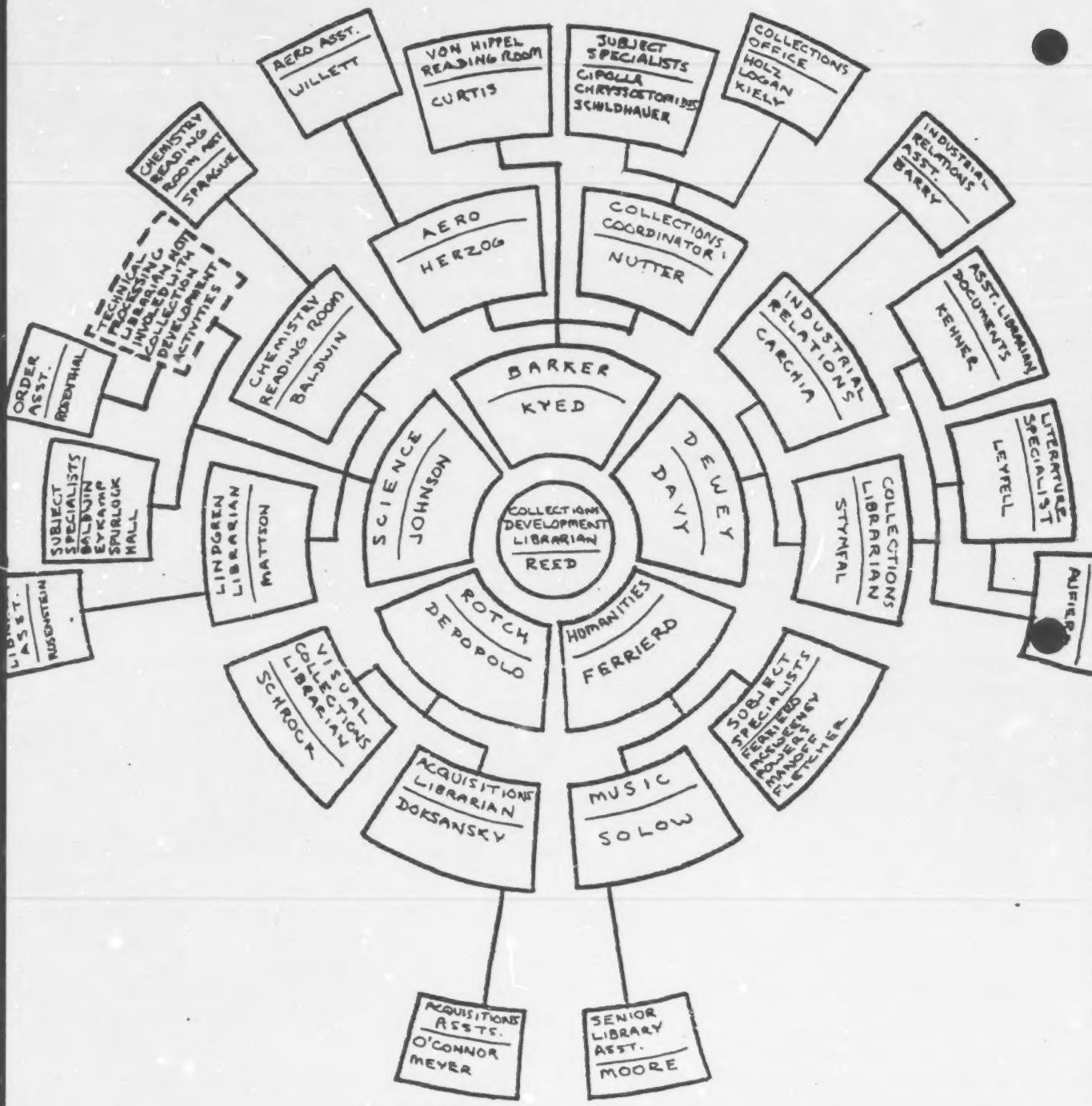
[1] The Student Center Library, Institute Archives, and Historical Collections are excluded from this analysis since the selection activities in which they are engaged are highly specialized and are not comparable to the divisional libraries and their branches.

FIGURE 1



ORGANIZATION AND STAFFING OF COLLECTION DEVELOPMENT FUNCTIONS - M.I.T. LIBRARIES - JANUARY 1978.

in what they buy; they also have well defined responsibilities for their own budget commitments.

In the other divisional libraries, Barker, Humanities, and Science, four or more librarian staff members have collection development responsibilities. Patterns of budget control, review of orders, consultation, and coordination of clerical effort supporting the collection function vary considerably. The most formal structure for coordination is found in Barker where the Associate Librarian has the clearly defined responsibility of collection coordination for all subjects (excluding Aeronautics and the Von Hipple Reading Room).

Beyond these two broad categories, the differences in the way the various libraries have organized the collection function make it difficult to categorize them. In some libraries, support staff are responsible for the searching and typing of orders, while in other libraries the librarians do this work themselves. In some libraries the collection coordinator or the divisional librarian review all monograph orders; in others the librarians forward them directly to the Collection Development Department. Another difference is the amount of information the selectors have with regard to the acquisition budget for their library. The role the divisional librarian plays in the selection process also varies from library to library. However, in most cases divisional librarians review and approve all new serial orders and are looked upon by the selectors as the primary resource person.

The three branch libraries, Aeronautics, Lindgren, and Music, are administratively part of the divisional libraries Barker, Science, and Humanities respectively. Each branch library is a physically separate collection[2] with one librarian, one or more non-librarian staff, and a

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[2] Reading Rooms, though physically separate like branches, will not be discussed here, since they are duplicate collections.

budget separate from the parent divisional library. Branch librarians generally view the divisional librarian as a consultant. Orders are sent directly to the Collections Development Department and are not generally reviewed by anyone in the divisional library.

Prior to the appointment of a Collections Development Librarian, the independent approach to the organization and staffing of the collection function in the M.I.T. Libraries resulted in certain situations which were neither "good" nor "bad" but merely a reflection of this independence. For example, duplication of materials among the libraries was not monitored. Interdisciplinary subjects were not a problem. The preparation of selection policy statements was not done on a systematic basis, but rather depended on the initiative or the perceived need of a selector or the divisional librarian. "Communication" between libraries or selectors was not thought of as an issue or a problem.

THE COLLECTIONS DEVELOPMENT LIBRARIAN

In Fall 1975, the position of Collections Development Librarian was established. The job description stated that she was "responsible...for coordination of collections in consultation with the staff of the Divisional Libraries...including development of selection policies for the Libraries and procedures for implementation." She was given "overall responsibility for the Libraries' acquisition department" and instructed to "work with other members of the Library staff and with faculty in book selection and related activities." The Collections Development Librarian feels that this job description is still an accurate reflection of the job with one major modification. The Collections Development Librarian is not involved with actual book selection or direct contact with faculty in connection with specific

selections, nor is she concerned with the book selection tools used by the selectors in the divisional libraries.

A significant factor with regard to the creation of the position of the Collections Development Librarian is that the position was superimposed on the traditionally independent role of the selectors. There were, however, no changes in the underlying structure of the divisional libraries to facilitate the integration of the new and old systems. The absence of any underlying structural changes has been one of the most important causes of the selectors' concerns and frustrations.

When asked how they perceive the role of the Collections Development Librarian most of the selectors seemed to have a positive attitude, and there was general agreement on its value and usefulness. They noted the twofold nature as coordinator or overseer of the M.I.T. Libraries collection and as head of the acquisition department. Different individuals saw her responsibility for policy development in different ways; initially in developing policies and operating procedures; regular reviewing of collection policies for consistence and relevance to M.I.T. programs; and monitoring orders to enforce policies. They saw her in charge of developing new policies as new subjects and new programs emerge, and as an arbiter for problem areas where policies do not exist. She is seen as having perspective over the whole library system, with a view toward the future as well as the present. It is also her responsibility to encourage communication and understanding among selection librarians.

Although the topic of collection policies will be treated later, there are certain points which relate to the selectors' perceptions of the role of the Collections Development Librarian. Since her arrival, she has initiated discussions resulting in a number of system-wide policies and procedures. The intent of one of these, the Pre-order Search System, is to eliminate uninten-

tional duplication and to maintain the integrity of the collections. Orders for most categories of materials are searched in the Institute Catalogue by members of the Collections Development staff. It is a rather simple check to ensure that there is not already a copy of the item in the system of which the selector is not aware. In accordance with the procedure, the Collections Development Librarian reviews all orders to check on the accuracy of the search and also to make sure that orders are within the scope of the ordering library. When she has a question on either aspect she seeks futher information. Orders which appear to be unintentional duplicates and orders outside the collection scope are returned to the library. The Pre-order Search System works well, and most librarians see it positively, as a source of information. A few see it negatively, as a way to assign subject responsibilities on an item by item basis. Those who deal with the Collections Development Librarian only on an item by item basis, or only when an order has been unexpectedly returned, have a rather narrow view of her role in the M.I.T. Library system. Some associate her too closely with the implementation of procedures and policies she has helped to develop rather than with the overall responsibility for identifying problems and formulating solutions.

Another area of confusion relating to the role of the Collections Development Librarian is the degree of finality her decisions will have as she "coordinates the collections" and enforces collection policies, now and in the future. For example, in the absence of a subject policy, who will make the final decision about where a book belongs in the system; and who will ultimately decide whether purchase of a duplicate copy is in the best interests of the system? The Collections Development Librarian? The divisional librarian? In an ideal system, the selectors and the coordinator have the collection in mind and do not think provincially. However, in the absence of a perfect system, someone in an unbiased position should have the final say.

COMMUNICATION

Organizationally, the patterns of communication between the Collections Development Librarian and the divisional libraries vary depending on the structure of the collection function in each library. The Collections Development Librarian indicated that she finds it more effective to deal with only one person in each library.

As the M.I.T. Library system moves gradually from department-centered collections to subject-centered collections, the effectiveness of communication among the divisional and branch libraries will become more important. While there is indication that individual librarians are beginning to recognize the need for communication with other libraries, the current frustration level indicates that there is not yet enough effective communication.

Most of the selectors say they communicate to avoid duplication and to coordinate selection in interdisciplinary areas. Such communication is informal and takes place only when a selector feels that there is a problem. An advantage of this informal system is that time is spent only when there is a problem to solve. A disadvantage is that much is left to individual initiative: those who do not wish to bother communicating with other selectors simply do not initiate discussions. An associated problem is knowing the most appropriate person in another library to talk with. Often more than one librarian must be consulted on an individual topic. In many cases, a selector simply chooses the person with whom he or she has had the best results.

Communication on the coordination of selection in interdisciplinary areas should clearly not be entirely dependent on personal initiative. It is obvious that although informal communication lines should always be maintained, more formalized systems should be made available. It should be clear to each

selector to what extent he or she is responsible for communicating with other selectors. There should also be greater clarity as to who should be contacted within each library.

Lack of communication has led to frustration among the selectors because of what they feel to be unwarranted rejection of some of their orders. This frustration has been directed primarily at the Collections Development Department and the Pre-order Search System. In addition to ineffective communication, a major source of frustration is the lack of written collection policies and the unavailability of those which do exist to all selectors.

COLLECTION DEVELOPMENT POLICIES

In his 1976-1977 Report, the Director of the Libraries indicated that it is the Libraries' aim to establish "...a comprehensive and coordinated set of policies for collection building..." and that "Eventually, statements must be produced for all areas of collecting interest."

At this time the Collections Development Librarian has a file of independently developed divisional and branch library selection policies. From library to library, these policies are written in very different formats which makes them difficult to interrelate. They are also not updated with any regularity; some are as old as 1973. For some libraries, such as Science, there are no written policies on file at all. These selection policies are useful within the divisional library to describe collection scope and depth to its users, especially to senior faculty members who are accustomed to departmental libraries rather than subject libraries. The individual subject specialist within a divisional library knows from experience what to buy and what not to buy, and may not feel it is necessary to create a written selection policy. But only when it is put in writing can it be shared with users and other selectors.

In addition to these independently developed selection policies, there are two system-wide collection policies (both in draft form), for Psychology and Mineral Resources. To create these subject policies, the Collections Development Librarian met with the divisional librarians responsible for collections in these areas, and with the subject specialists who select in these areas. In the case of Psychology, the group arrived at a consensus on the approach for describing the subject. In the case of Mineral Resources, the libraries decided to describe the subject in terms of the four subprograms of the MREM Program at M.I.T. Following this, a general consensus was developed as to which library had primary resonsibility for each aspect. In some areas, however, more than one library was assigned collection responsibility. In these cases scope notes were developed to further define this responsibility, and to acknowledge the necessity of specified areas of duplication.

The Collections Development Librarian sees the process of developing system-wide policies as evolutionary, and one that will become more efficient the more times it is done. Some librarians in the system, however, see this as a time-consuming and cumbersome process. When it has taken two years to arrive at two system-wide subject policies, how long with it take to develop a "comprehensive and coordinated set" of them? Though this is the Director of Libraries' goal, they feel discouraged about going through each subject one by one.

Selectors contacted by questionnaire or interviewed by this Task Force agree overwhelmingly on the need for selection policies, especially in interdisciplinary areas. They also noted the desirability of a system-wide deacquisitions policy. After examining these questionnaires the Task Force on Organization and Staffing feels that criteria for the acceptance of gifts and suggested

purchase requests and for the regular review of standing order commitments should be examined on a system-wide basis. The responses indicate that these tasks should be given a high priority.

INPUT INTO THE SELECTION DECISION

For each selector, a number of factors enter into the selection decision. To different degrees the following factors are generally considered important: reputation of the author and/or publisher, anticipated use of the material, importance to the discipline, and the material's availability in another M.I.T. Library. Notably, of all the factors cited by the selectors in making their acquisition decisions, the least important factor is the availability of the material in other libraries of the Boston Consortium.

The selectors generally apply the same criteria to "suggested purchase" requests. Some selectors are a little more lenient and will buy borderline material if it is requested. The Opinion Survey conducted by the Task Force on Collection Effectiveness indicated that the majority of library users are not aware that they can influence the library's selection of materials. The largest interest of all groups seems to lie in the graduate student population. It is interesting to note that those who have made suggestions seem relatively satisfied with the Libraries' response. But the Libraries must make a concerted effort to publicize the fact that they welcome requests for material and will purchase items which meet regular selection criteria.

According to our interviews, most of the selectors make little or no effort to buy material specifically for undergraduates (other than what is required for course reserve). Since the Opinion Survey did not indicate that the undergraduates contacted are dissatisfied with the collections, it may be that the research materials purchased for graduate students and faculty

meet the advanced information needs of M.I.T. undergraduates. On the other hand, it would seem appropriate that each library at least examine the information needs of its undergraduates and determine whether they are being met in this manner.

A variety of formal and informal communication channels exist between the Libraries and the academic departments (Interim Report, p. 12). Faculty input into the selection decision is sometimes faculty-initiated (such as when a professor fills out a "suggested purchase" request card or drops by to make general suggestions); more frequently it is librarian-initiated (such as when a selector asks a faculty member for advice on a specific book or journal). Selectors, of course, read what they can to be informed about teaching and research at M.I.T., such as Tech Talk, faculty grant proposals, or the President's Report. However, these methods do not involve direct contact with faculty.

A disadvantage of this relatively informal system is that there are probably instances where (for lack of time and initiative) there is not selector-faculty contact. It could also create situations where new faculty are here for one or even two years before they have personal contact with the selector in their field. Another disadvantage is that the selectors are all working independently, each soliciting and receiving input from faculty, and could perhaps benefit from an exchange of ideas.

CHAPTER VIII

THE LIBRARY ORGANIZATION

INTRODUCTION

Through the process and structure of organization, a library is formally assembled to enable it to carry out its mission and objectives in the most efficient and effective way. While a formal structure is essential, care must be taken to see that the neatness of organization charts, the formal assignment of responsibilities, and the acceptance of textbook definitions of such concepts as line and staff do not create rigidity and an inability to deal with problems. Flexibility and responsiveness to new and changing needs and demands are essential. Organization must be a means of encouraging action, not a device for preventing action.

Using a variety of approaches, including an examination of available written material, interviews with all department heads, supervisors, the administrative assistants, the University Librarian, the Associate University Librarian, and an interview with the Vice President for Academic Programs, the Organization Task Force attempted to identify and describe the present library organizational structure and the staff's perceptions of it. We also attempted to analyze how well the current organizational structure meets the Library's objectives. These tasks were difficult and were not completely accomplished because the structure is complex, has changed considerably over the past several years, and appears not to have been adequately defined and described even where long-range growth and development has been planned. In order to provide a background for the analysis and recommendations of this report, the following brief descriptive comments are made. They are not intended to represent a full and adequate description of the organization structure which is needed, nor to replace the present statement on Library Administration and Organization.[1] A more adequate description can best be developed after the changes resulting from the MRAP report have been implemented. At that time such a description should be made available to all staff in order that they may have a clearer picture of how the Library is designed.

THE LIBRARY

Like most American libraries, the University of Connecticut Library has been, and continues to be, organized by a combination of function (e.g., reference) and form (e.g., serials). Until relatively recently the Library or-

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[1] University of Connecticut, Wilbur Cross Library. Handbook for Wilbur Cross Library Staff (1973) p. 2-4. See also the Library organization charts presented earlier in this report.

ganization was fairly fixed and the administrative structure consisted only of the University Librarian and the department heads, who were, for the most part, professionally trained librarians with operational authority and responsibility for the management of their own departments. The past several years have seen a number of changes including: the appointment of an Associate University Librarian and three Administrative Assistants; the breaking up of some departments into a number of smaller units, often supervised by a preprofessional, rather than a professional; some attempt at the use of committees crossing traditional departmental lines to examine particular problems or to develop particular programs; greater staff participation in the selection of department heads or supervisors; and an attempt to encourage broader staff participation in the decision-making process while maintaining that process at the departmental level.

Much of this change has been the result of the rapid growth of the Library and developments within the library profession in the 1960's. Some of it has been consciously planned to meet those changes and developments and to provide for the future, but much of it gives the appearance of having developed in response to particular problems or personalities. The changes made have much to recommend them. For example, the development of semi-autonomous smaller units in circulation, reserve, and photoduplication/microtext, staffed and supervised by preprofessionals, appears to have been effective. Those units have developed a strong sense of identity and purpose that has led them to be more responsive to the needs of users.

The flexibility and fluidity in the current organization structure has, however, created problems. These problems appear to result from a lack of understanding of what the chain of command and decision making process has become and a lack of clear understanding on the part of many staff members including department heads, supervisors, and the administrative assistants themselves as to the respective roles of the administrative assistants. Existing inconsistencies in the organization of the Library (traditional vs. newly formed units) have caused uncertainty regarding individual as well as departmental responsibilities. This, coupled with the development of almost double the number of departments or units with limited administrative control of those units, has led to problems of coordination and, in some instances, has contributed to the fact that certain library functions are not now being adequately covered. It is generally felt that the meeting and committee structure is confusing and ineffective. Department Heads/Supervisors' meetings are largely informational gatherings resulting in little or no problem solving. Similarly, committees have been less than effective in dealing with issues because of inadequate provision for implementation of recommendations.

Another major area needing more attention is that of collections development. Until 1969, the basic responsibility for this area rested with an Acquisitions Department. At that time a new position of Collection Development Officer was created and the former Head of the Acquisitions Department moved into that post. No clear written description of the basic role of that new Officer and of her relationship to the Acquisitions Department was ever developed. Basically, however, the Acquisitions Department retained responsibility for the selection and purchase of current material. The Collection Development Officer assumed primary responsibility for retrospective selection to fill in gaps in the collection or to support new or expanded academic

programs. For a period of time this worked reasonably well without any formal definition of responsibilities. In the past year or two, partly because the book funds are less adequate, this lack of clearly defined roles and responsibilities has begun to create some strain. Since the Collection Development Officer has indicated that she may retire within a few years, it would appear to be an appropriate time to review the question of how the Library should best be organized to provide for collection development.

In addition, it should be noted that the Collection Development Officer is in the process of drafting an acquisitions policy. Such a policy is needed to help provide for more control over the growth of the collections and may also help to alleviate some of the organizational strain brought about by the division of responsibility. There should be broad participation in the review of that policy to ensure that all who have pertinent information or views to contribute have an opportunity to do so. There should be greater coordination, or even centralization, of responsibility for the basic collections development function. There should, at the same time, be the broadest possible opportunity for staff to participate in the selection process. To a large degree such an opportunity already exists but the staff are either inadequately informed about it or do not wish to take advantage of it. Further provision should be made to encourage more active staff participation.

For many years the Library was the basic information center on campus, but with new technologies other information services have developed. These now include the Audio-Visual Center, the Institute of Public Services, the New England Research Application Center (NERAC), the Radio-TV Center, and the Social Science Data Center. While limited University finances in the past few years have prevented the rapid growth and development of any of these services and have, therefore, limited overlap and duplication of effort, there has not been adequate attention given to the need for greater coordination among these centers in order to provide fuller access, through the Library, to their resources.

Growth and recent changes within the Library and the University have contributed to the development of additional problems. Although some preliminary work has been done, there is still insufficient attention given to the broad area of personnel. There should be more extensive provision for the employment, manpower planning, training and development, and staff relations aspects of the Library's personnel policies and programs.

Some internal supportive services (e.g., mail delivery, storage, physical arrangements of meeting rooms, etc.) require more effective management. Basic services provided to the Library by other University departments, especially maintenance and building security/exit control, require more adequate liaison and coordination to ensure that the Library's needs in these areas are efficiently met.

In summary, this Task Force has identified certain problem areas that require immediate examination and has concentrated on those problems. Many other areas require further examination. Among them are the role and function of supervisors, executive coordination, the governance of the professional library staff, and possible new forms of overall structure and organization. While the Library has adopted some interesting innovations, such as the use of a Coordinator of the Catalog Department and the OCLC Steering Committee, the time has come to review, evaluate and consolidate before proceeding with further changes. The existing structure should be strengthened so that the Library will be prepared to face the organizational changes that a new building, involvement in new programs, and expanded services will require.

CHAPTER XII

BRANCH, DEPARTMENTAL, AND PROFESSIONAL SCHOOL LIBRARIES

The need for incorporating a review of the Branch, Departmental, and Professional School Libraries was realized early in the MRAP study. A special Task Force appointed by the Study Team was therefore requested to examine the administration and organization of the University of Connecticut Libraries outside the Wilbur Cross Library, to identify problems in those areas and possible solutions to the problems, to review the relationships of these libraries with their Deans, Directors, and Department Head and with the Wilbur Cross Library, and to determine the rationale behind existing administrative patterns. Libraries included in the study were those associated with the five Branches (Hartford, Southeastern, Stamford, Torrington, and Waterbury), the two Departmental libraries on the Storrs campus (Music Department and School of Pharmacy), and three of the five Professional School libraries (Marine Sciences Institute, School of Business Administration, and School of Social Work).

In order to elicit essential information questionnaires were distributed to the Deans, Directors, Department Head, and Librarians of the Branches, Departments, and Professional Schools, and to several Library and University administrators; interviews were conducted with Branch librarians and professional School librarians, the University Librarian and Associate University Librarian; and relevant materials from the Wilbur Cross Library Office files were examined. The questionnaires were designed to yield an understanding of where those queried felt the responsibility lay for the following areas: budget preparation and control, personnel allocations, hiring of personnel, building equipment and maintenance, planning of space and overall planning, coordination and communication, general administrative control, and the determination of the libraries' policies and objectives. Interviews were conducted to gain further comprehension of the current situation, problems and possible solutions.

With regard to overall organization of these libraries, there is a pronounced absence of clear guidelines concerning the relationships of the libraries first to their own Branches, Departments, and Schools, and then to the Wilbur Cross Library, and of the administrations of the Branches, Departments and Schools to the Wilbur Cross Library administration. This absence was perceived to be probably the greatest weakness of the organization of these libraries.

Questionnaire responses indicated that many functions are carried out differently from one library to another. Confusion often exists in the determination of administrative responsibility. It has never been made clear whether this responsibility, especially for budgets and hiring, lies with the Librarian, the Dean/Director/Department Head, the Wilbur Cross Library administration, or is to be shared. The confusion was exemplified by the fact that Deans/Directors/Department Head and Librarians associated with the same libraries often answered the same questions in different ways. The Librarians and Deans/Directors/Department Head indicated that the present relative autonomy results in effective

functioning of the libraries. On the other hand, the lack of guidelines for execution of overall management practices was seen to be a serious shortcoming. This situation reflects one that exists throughout the University.

> The ambiguity as to which groups or people within the University are responsible for certain types of decisions and have the power to make them leads to a feeling of impotence, sometines even on the part of those groups that do have the responsibility. The overlapping concerns that are inevitable among decision-making groups can become bones of contention rather than areas for joint exploration, meaning that one group cannot benefit from the information or conclusions developed by the other. This may be witnessed in everything from student government to faculty Senate committees and to presidentially appointed committees.[1]

The indefinite lines of authority have evolved according to history and personalities involved, and although those involved have adjusted, the problems that exist remain unresolved at least partially because of this framework. Problems have also resulted from the apparent lack of interest on the part of University administrators in development and support of Branches and Schools not located on the central campus. In addition, it is unclear whether these libraries are excluded from Library activities and developments such as the automated circulation system, OCLC, and book theft detection system, because of size, lack of funds, lack of interest or understanding. Written plans have rarely included consideration of expansion of such developments to Branch, Departmental, and Professional School Libraries.

There is generally a lack of participation of the aforesaid librarians and administrators in Library decision-making processes which might affect them. Perhaps the most important problem in this respect is the absence of a clear, formal process of input in budget planning.

A critical shortage of clerical help has forced librarians to assume almost all clerical routines. Moreover, confusion exists regarding proper bookkeeping procedures, use of University forms, and communication of changes made in University office procedures and forms. Because of the lack of supportive staff, professional activities such as preparation of bibliographies and training programs for staff and patrons suffer and staff development activities are minimal.

The physical separation of the Branch, Departmental, and Professional School libraries from the Wilbur Cross Library has contributed to a lack of communication and a lack of knowledge on the part of all staff of the library system regarding libraries with which they are not associated. For instance, this situation led the Library Committee on University Governance in January, 1971, to exclude the librarians of the University's off-campus professional schools because it did not have enough understanding of the relationships between these libraries and the University Library system. On the other hand, the incorporation of news items from the off-campus libraries in "The Innocent Bystander" has been one pos-

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[1] Perspectives for the University of Connecticut; a White Paper on Planning (1972), p. 28.

itive means of informing all University Library staff of activities.

There has been little opportunity for participation of Branch and Professional School librarians in the committee/meeting structure of the Wilbur Cross Library. The Branch Librarians meeting has been limited to a small group of librarians with no real occasion for all University Library personnel to meet and discuss their activities and programs.

Other issues considered by the Task Force which need further investigation included: 1) the need for a formal and written Library/University policy on the conditions under which Reading Rooms should be established and/or elevated to Departmental Library status, and the amount and kind of support that the University, the individual Departments, and the Wilbur Cross Library should afford them; 2) the problems which arise from limited access to audio-visual materials on campus and the need for clarification, coordination and possible integration of the roles of the Audio-Visual Center and the Wilbur Cross Library in this matter; 3) the severe space shortages in some of the libraries under study.

Since this study began there have been several developments which may alter some of the situations described in this report. The additional allocation of $125,000.00 for expansion at the Stamford Branch this year has resulted in the addition of three new positions at the Stamford Library (1 professional, 1 pre-professional, and 1 classified). As part of the expansion program, $83,000. has been earmarked for purchase of books.

President Ferguson's statements regarding overcentralization of the University administration opens questions as to his philosophy toward the present strong policy of Library centralization.[2] At the present time it is also uncertain whether the appointment of a new Vice-President for Financial Affairs and other possible administrative changes in the University will result in alterations of University policy regarding the organization and administration of the Branches and Professional Schools and their libraries.

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[2] University Chronicle, v.4, no.27 (February 28, 1974), p.1-2.

ORGANIZATION

Introduction

Organization is defined for this study as the formal grouping of activities into departments, divisions, sections, offices, or units; the assignment of responsibility for activities; and the relationship of these components to one another. The report is based on responses to questionnaires submitted to all levels of library staff, on interviews with the Director of Libraries, chiefs of divisions, a number of interested staff members at all levels, the Executive Vice President, the Affirmative Action Officer, and all academic deans. It is also based on documentation of a 1974 study conducted by the Library Faculty Study Committee, the MRAP Organizational Profile of Washington State University Library, and literature in the field of management and organization.[1]

Internal Library Organization

Description

General Organization

Washington State University Library is organized into seven public service divisions (Science with its Physical Science Branch, Humanities-Special Collections, Social Science, Audio-Visual Center, Manuscripts-Archives, Education, Veterinary Medical) and a Technical Service Division for services to the library. The divisions are semiautonomous and report to the Director of Libraries. The 14 departmental libraries which shelve parts of the library collection are not organizationally part of the Washington State University Library. Two small specialized service units, Photography and Graphics, report to the central library administrators. The Central Information Desk and Reserve Book Room report through the Assistant to the Director. A reorganization underway in July 1974 eventually will bring together in the new General Public Services unit the functions of central information, reserve, fine collection, and the management functions of machine-based bibliographic searches, interlibrary loan, and central photocopying (Figure 1).

1. Argyris, Chris, Management and Organizational Development (New York: McGraw-Hill Book Company, 1971); Likert, Rensis, The Human Organization (New York: McGraw-Hill Book Company, 1967).

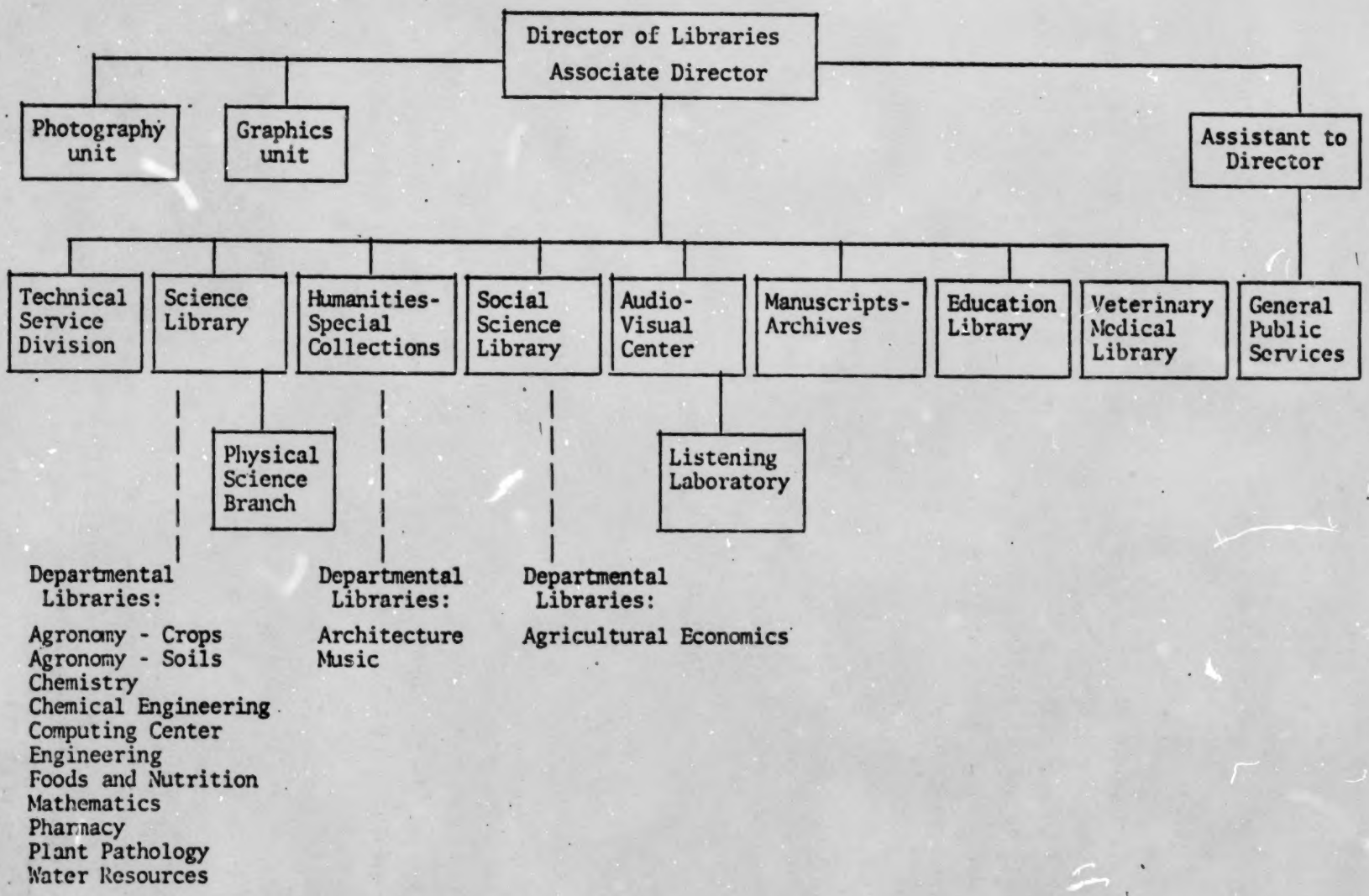


Figure 1. Organization Plan of Washington State University Libraries--July 1, 1974.

Staff size of library units totals 47.5 faculty and 103.0 classified staff as shown in Table 4 below.

TABLE 4. Washington State University Libraries Staff Size
July 1, 1974

Unit	Faculty (full-time equivalent)	Classified Staff (full-time equivalent)
Manuscripts-Archives	3	1
Audio-Visual Center	4	16
Education Library	2	2
Humanities Library	7	6.5
Library Administrative Office	3	6
General Public Services Unit	1	6.5
Graphics Unit		2
Photography Unit		1
Science Library	7.5	9
Physical Science Branch		2
Social Science Library	9	10.5
Systems		1
Technical Service Division	10	38*
Veterinary Medical Library	1	1.5
TOTAL	47.5	103.0

* Includes 13 in Acquisition Section.

The central library building, Holland, houses the entire library except for education and veterinary medical libraries, physical science branch, and the 14 departmental libraries. The design of the building allows great flexibility in the organization of work areas, study areas, and stacks. This flexibility is now limited by crowded conditions which should be alleviated in 1977 by the completion of the Science-Engineering Area Library. The numbers of organizationally separate departmental libraries will be reduced by consolidation into this area library. Physical Sciences Branch, itself a consolidation of two departmental libraries, will also be incorporated into the Science-Engineering Area Library. Consolidation of Social

Science and Humanities Libraries as a second area library is also proposed for 1977. A Life Sciences Area Library is included in the university Capital Improvement Program 1973-79 to encompass the Veterinary Medical Library and the departmental libraries within the Colleges of Pharmacy and Agriculture.

Central Library Administration. Centrally, the library administration consists of the Director and Associate Director of Libraries and an Assistant to the Director supported by a small office force. The Director and Associate Director have in recent years functioned more or less interchangeably on most aspects of planning, policy, budgeting, and personnel with the Director giving direct attention to automation development, long-range planning, and control of book funds. The Associate Director has generally managed most budgetary matters, personnel, equipment, supplies and services, and day-to-day operating problems beyond those handled by chiefs of divisions. The Assistant to the Director has line responsibility for the General Public Services unit and staff responsibilities including budget and faculty appointments.

Public Service Divisions. The present divisional organization had its beginnings in 1947, not long after G. Donald Smith became Director of Libraries. With the 1951 move into Holland, the divisional reading rooms became increasingly responsible for their own collection development, acquired their own serial records, and added divisional catalogs. The divisions originally did their own searching and their own cataloging. Searching was centralized in the Technical Service Division in 1963 and cataloging in 1966. Since that time the public service divisions have included the following functions: reference, collections development, interlibrary loan, circulation, and serial records. In addition, Social Science included the Documents Section and Humanities, a special collections area of substantial size separate from the special collections in Manuscripts-Archives.

Technical Service Division. The Technical Service Division is made up of six sections: Acquisitions reporting in its fiscal responsibility to the Director of Libraries, Card Production, Cataloging, Descriptive Typing, Marking, and Searching. Bindery preparation is done in each public service division, but the Marking Section centralizes all library relations with binderies. The Marking Section is responsible directly

to the administration through the Assistant to the Director with respect to expenditure of binding funds.

Library Automation

Until recently three positions have been responsible for library automation: a librarian for Systems Research reporting to the Director of Libraries, the Assistant Chief of the Technical Service Division and Library Automation Projects Coordinator, and a Systems Analyst assigned to the library by the Office of Systems Services and Development. A Long-Range Automation Projects Committee has worked with the Coordinator in recommending priorities for future automation although for the most part the Director has done the long-range planning for library automation. Recently the librarian for Systems Research resigned, and the position in this form was subsequently abolished. The Director plans to use the Library Automation Projects Coordinator and the Systems Analyst, perhaps with additional support staff later if needed, for future development of library automation.

Departmental Libraries

The term departmental libraries in this report refers to collections of library-owned books and journals housed in academic departments and operated by personnel responsible to the department rather than to the library. These libraries for the most part operate by their own rules, and it has been library policy for the last decade not to interfere or set standards. These libraries vary in size from 200 to 12,000 volumes, and in hours of operation from 40 to 76 hours per week. Some are closed in the summer and during university vacations. Personnel are often not present, and no professional reference service is provided.

Councils, Associations, and Committees

Library Administrative Council. The Library Administrative Council was first organized in 1950 and reorganized in 1954 into its present structure. The Council is composed of the Director, Associate Director, Assistant to the Director, and the chiefs of all divisions. The heads of the Education and Veterinary Medical Libraries started attending in 1974. At the time of the 1954 reorganization, the Director stated that the Library Administrative Council was an advisory group only, a view he still holds. Although originally to meet weekly, in recent years the

Council has met very seldom, for the most part considering matters related to faculty salaries and promotion although advice is sometimes sought on other topics of library-wide concern.

Library Staff Advisory Council. The Director of Libraries created the Library Staff Advisory Council in 1970. Its seven members include two classified staff, four faculty, and one member of the Library Administrative Council who are appointed to staggered three-year terms by the Director from a list condensed by the Library Staff Advisory Council from nominations by the library classified staff and faculty. It was organized as an advisory body to the Director to take over "to a considerable extent, the policy review and planning functions of the Library Administrative Council." The Library Administrative Council would "remain the basic management and intercommunication group and 'personnel committee' of the library."[2]

Library Staff Association. The Library Staff Association was organized in 1952 and includes all members of the library staff, both classified staff and faculty, who pay nominal monthly dues. It has its own constitution and bylaws which provide for three standing committees: (1) Furnishings and Maintenance (of staff lounge and kitchen), (2) Social, and (3) Editorial (preparation of Open Stacks, the staff association bulletin). The Library Staff Association also has at present two ad hoc committees, the Continuing Education Committee and the Committee to Improve Working Conditions in the Library. Two Library Staff Association Roundtables exist. One was developed from a reference roundtable into one of general interest. The other originally was formed as a vehicle of information dissemination for the Classified Library Employees of Washington State but is now synonymous with that organization.

Library Faculty. Professional librarians are members of the university faculty with all the obligations that derive from membership in the university community. Their only committee is the Library Faculty Affairs Committee, which is charged with undertaking studies of professional development and monitoring, investigating, and reporting to the library faculty matters within the library and university which could affect them.

Committees Formed by Director. Committees reporting directly to the Director of Libraries are the Long-Range Automation Projects Committee, which has a Serial Standardization Subcommittee, the Holland Remodeling

2. Washington State University Library, Library News, October 5, 1970.

Committee, the Orientation Committee (for new employees), and the Reference Committee (to work out methods for measuring library reference services).

Circulation Committee. The Circulation Committee is the only library committee discovered which exists without a sponsoring individual or group, and without specified reporting channels. The committee arose from a need to standardize circulation procedures in the public service divisions and served an important function, particularly following changes in Library Policies, Rules and Regulations.

Analysis

General Organization

The organization of the Washington State University Libraries reflects a preoccupation with user services. Until the early 1960's cataloging, searching, serials, and documents were all processed in the public service divisions utilizing reference librarians with subject expertise to catalog and classify library materials and eliminating the conflict in more traditional libraries between cataloging and reference. A number of factors led to the centralization first of searching and later of cataloging in the Technical Service Division by 1966. Serial records remain in the public service divisions so that information on journal holdings is readily available to reference and user. However, there has been substantial standardization of serial record routines among divisions so that eventual serials automation can readily serve both the ends of user access and centralized efficiency.

The divisional arrangement allows for some specialization in the public service divisions and relatively close relations between subject specialist librarians and library users. In dealing with a division chief responsible to the Director, the user is only one step from the top library authority--the Director of Libraries. This is a situation of value in a user-oriented library.

Overall, the present library organization is satisfactory. It is a simple structure allowing great flexibility in dealing with change.

For the most part, problems reported to the Task Force as organizational seem to be primarily products of poor communication, understaffing, and lack of staff involvement, rather than of organization. An exception may exist in the case of the Technical Service Division. At all staff levels throughout the library there is dissatisfaction with the efficiency and quality of the technical processes by which library materials are

acquired and processed. A variety of procedural problems are cited. Frequent reference is made to internal communication and particularly to infrequent meetings within sections and among section heads. During the last decade there has been substantial increase in the size of the division, but there appears to be little growth in capacity to add items to the collection. The Organization Task Force has insufficient information to determine to what extent these problems relate to organization, to staffing, and to procedures. The situation appears severe enough to warrant special and detailed study.

The separation of the Manuscripts-Archives collection from the Humanities-Special Collections is both physical and administrative. It is difficult to justify continuing the separation of these similar materials and operations except on the grounds of present space limitations.

Library Automation

An ambiguity has existed between the functions of the Library Automation Projects Coordinator and the librarian for Systems Research widely reported by the library faculty and classified staff and by both incumbents during the early weeks of this study. Vacation of the position of librarian for Systems Research has eliminated that ambiguity.

Departmental Libraries

Study of the history of departmental libraries and of their present operation shows them to be a great expense to the university and a great inconvenience to undergraduates, users in interdisciplinary fields, and users in all departments other than the one housing a departmental library. This is particularly true of collections in the physical and natural sciences, which are scattered in 16 campus locations. As early as 1947 the Director of Libraries first proposed the concept of four strong area libraries as a compromise between the powerful and conflicting drives toward (a) complete centralization and (b) departmental libraries. In recent years the concept has received limited approval. Consolidations at the time the Science-Engineering Area Library is complete will reduce the number of departmental libraries even though at least 10 may continue to exist.

The affected deans consulted opposed the idea of a future Life Sciences Area Library encompassing agriculture, pharmacy, and veterinary medicine as an illogical combination. However, an Agricultural Area Library in the campus agricultural complex seems logical.

The Executive Vice President stated that departmental libraries are indefensible from a management point of view. A recommendation would be welcome from the library toward correction of the situation without which the university administration would be most unlikely to move. Correction of the situation to coincide with the move into the Science-Engineering Area Library seems appropriate and timely.

Councils, Associations, and Committees

From the beginning the Library Administrative Council and the Library Staff Advisory Council have been confused about their functions and their relationship to one another. Both are advisory bodies to the Director, but their concerns are so interrelated that they cannot easily be separated. The Library Administrative Council officially acted in an advisory capacity on any or all matters until the Library Staff Advisory Council was formed at which time the Library Administrative Council became the basic management and intercommunication group and personnel committee. Although its function was clarified on paper, the members of this Council feel they have only a tenuous and ambiguous advisory role.

Members view the Library Administrative Council as ineffectual and cite a number of factors contributing to this situation: they are rarely given advance time to consider problems in depth, they are often not involved in long-range decisions such as certain promotions and appointments, they are not informed or involved meaningfully in budgetary decisions related to long-range planning, they have sometimes tended to operate as competing individuals or associations of individuals jockeying for position rather than working cooperatively as a problem-solving body.

Most of the staff consider an appropriate membership of the Library Administrative Council to be all heads of divisions, plus the Director and Associate Director. In addition, there is fairly strong sentiment for one or two elected representatives from the faculty or classified staff, and for bringing affected personnel into Council meetings when appropriate subjects are discussed.

Similar uncertainty exists about the function and efficacy of the Library Staff Advisory Council. Some members of the library faculty and staff, including a majority of former and present members of the group, believe that the Council as now constituted should be disbanded, both because of ineffectiveness and because of wasteful competition with the Library Administrative Council.

Some staff committees have formed in response to specific need. Some, such as those of the Library Staff Association, serve a continuing function. Although the continuing education committee of this group is not currently functional, it has filled an important need which still exists. Many staff members, however, strongly question the function, charge, or continued existence of other library committees. The demand by state and federal agencies for quantification of all university services for which public funds are expended led to the creation of the Reference Committee. At the time of his recent resignation, the chairperson considered the task of this committee completed except for final editing of its report.

A study of all the committees reported does not support the belief of some staff members that large numbers of committees exist, nor is there substantial overlap discoverable in the functions of committees other than the Councils. On the other hand, there is a tendency for groups formed in response to specific need to continue in rather formless existence after the need for them has passed.

ORGANIZATION

Chairperson: Elaine Sloan
Catherine Scott
Ruth Terry
Jane Knapp

INTRODUCTION

The Task Force on Organization defined organization as "...the formal grouping of activities into departments, sections, offices...and the relationships of the activities to one another ..." This report focuses primarily upon the formal arrangements as described in the organization chart (See Chapter I); the Task Force recognizes, however, that a formal organization chart frequently does not describe the manner in which an organization actually functions. Task Force members conducted interviews and analyzed the results of previously-administered interviews and questionnaires in order to gain insight into the operating organization. The following sections describe and analyze the organization of the Libraries within the Smithsonian Institution and the internal organization of the Smithsonian Institution Libraries. Recommendations are based upon the description and analysis of the present situation.

DESCRIPTION

The Libraries in the Institution

The organization of the Smithsonian Institution is displayed in Chapter I. The Director of Libraries represents SIL within the Institution; he is responsible for coordinating all library policies. Since July, 1972, the Director of Libraries has reported to the Assistant Secretary for Museum Programs. Previously, the Director of Libraries reported to the Director of Support Activities in the Office of the Undersecretary. The Director of Libraries is invited to meetings of Bureau Directors held by all Assistant Secretaries with the exception of the Assistant Secretary for History and Art and the Assistant Secretary for Museum Programs who do not meet with the Bureau Directors and the heads of units who report to them.

The general collection of the Libraries is maintained and serviced by Access Services. Branch Libraries are established in the Museums in the Mall area: Museum of Natural History, Museum of History and Technology, National Air and Space Museum, Freer, National Collection of Fine Arts/National Portrait Gallery, Hirshhorn Museum and National Armed Forces Museum Advisory Board. Branch Libraries have also been established within MNH in the Botany, Anthropology and Entomology Departments. Two bureaus in the D. C. area have Branch Libraries: National Zoological Park and Smithsonian Radiation Biology Laboratory.

Outside of the Washington, D. C. area, there are Branches at Smithsonian Astrophysical Observatory in Cambridge, Massachusetts, Cooper-Hewitt Museum of Design in New York, and Smithsonian Tropical Research Institute in Panama.

Science (with the exception of STRI) and History Branch Librarians are responsible to the Director of Libraries for technical direction and to their own Bureau Directors for program direction. The Art Branch Librarians do not report to the Director of Libraries; they report only to their Bureau Directors. The Director of Libraries has an advisory role in relation to the Art Libraries, and the NCFA/NPG Branch Librarian advises the Director of Libraries on art library matters. Although the art libraries do not report to the Director of Libraries, there is a close working relationship between NCFA/NPG Branch Library and SIL. NCFA/NPG acquisitions and cataloging is supported by SIL General Services. The head of the NCFA/NPG Branch Library attends SIL meetings and participates in many decisions which mutually affect SIL and NCFA/NPG. Recently, the Branch Librarian of the Hirshhorn Museum has moved to Washington and has been invited to participate in SIL activities.

THE ORGANIZATION OF THE SMITHSONIAN INSTITUTION LIBRARIES

The present organizational structure of SIL has been in effect since June, 1972; the Assistant Director for General Services was appointed in September, 1972. The structure prior to June, 1972 is shown on Figure 1. The new organization, displayed in Chapter I, replaced a single chain of command with two line departments: Bureau Services and General Services, each headed by an Assistant Director. Two staff offices were established which report to the Director of Libraries: Administrative Services and Planning and Research.

1. Bureau Services

Bureau Services was established to develop services and collections to bureaus and activities and to coordinate the programs of the established Library Branches. The Deputy Assistant Director of Bureau Services is responsible for collection development and coordinates the allocation of the book budget. The organization chart depicts three service divisions: Science, History, and Special Services. At present, the position of the Chief of the Science Division is filled in acting capacity by the Assistant Director for Bureau Services who is also acting MNH Branch Librarian. There seems to be some confusion about whether or not the MHT Branch Librarian is head of the History Service Division. The organization chart places him in that position, but his job description does not. The MHT Librarian is responsible for collection development for National Armed Forces Museum Advisory Board. No personnel

have been assigned to the Special Services Division which serves bureaus and activities which are not history, science or art. At present, service to these units is provided by Access Services and by Branch Libraries.

2. General Services

General Services is charged with the development of reference and information services to support the general needs of the Smithsonian Institution staff and the central technical service functions for the SIL system. This includes planning and directing of automation of central operations.

a. Access Services

Access Services provides reference, circulation and interlibrary loan services from the general SIL collection. It is responsible for the off-Mall center at Lamont Street, the Library of Congress liaison function, the Rare Book program, the translation program and library lectures and tours. Appriximately 50% of Access Service activities are devoted to serving the entire Smithsonian Institution system. The clientele of Access Services includes those bureaus and activities which have no libraries, and the administration of the Smithsonian Institution. Because of the location of Access Services within the Museum of Natural History, and the vacancy in the position of Natural History Librarian, it is estimated that approximately 50% of Access Services' activities are devoted to serving Natural History users and the many non-Smithsonian employees and units housed in the Natural History Museum.

b. Technical Processes Center

The Technical Processes Center is a newly created unit which coordinates the activities of the already-established Acquisitions and Cataloging divisions and the Processing Services section, which handles binding. Acquisitions has established three informal work units: Gifts and Exchange, Order, and Serials Records. Informal working units also are established in Cataloging. The Technical Processing Center will also be responsible for the implementation of automated cataloging via SIL's participation with other federal libraries in an experiment with OCLC (Ohio College Library Center).

3. The Director's Office

Two staff offices -- Administrative Services and Planning and Research report to the Director. The Director's Office establishes policies and plans for an integrated and coordinated library and information system for the Institution. The Director views his office principally as SIL's representative to the Institution and to the library profession. He believes that the

internal operations of the Libraries should, for the most part, be delegated to the two Assistant Directors and to the two staff offices that report to him.

a. Administrative Services

The Office of Administrative Services is headed by the Administrative Librarian and includes an Administrative Officer and two clerks. The Office is responsible for:

1) preparation of budget documents;

2) maintenance of fiscal records (except for book budget);

3) the personnel program of SIL;

4) supplies and equipment;

5) space utilization and the physical plant;

6) monitoring of contracts for service (except binding);

7) safety.

b. Planning and Research

The Office of Planning and Research was established in January, 1973. The Assistant to the Director for Planning and Research is responsible for the development, coordination and implementation of planning in the Libraries. There is no additional personnel in this Office. The Assistant to the Director for Planning and Research is responsible for:

1) coordination of budget preparation;

2) monitoring budget implementation;

3) developing and monitoring a management information system;

4) providing technical advice and assistance to support planning activities;

5) identifying and carrying out needed research.

4. Committees

There are three standing Committees within the Libraries. The Libraries Executive Conference (EXCON), which advises the

Director, is composed of the Assistant Director for Bureau Services, the Assistant Director for General Services, the Administrative Librarian and the Assistant to the Director for Planning and Research. EXCON does not meet on a regular schedule; rather, EXCON is called together, usually by the Director, to discuss specific issues.

ADCON is the principal forum for the exchange of information. Heads of major units and members of EXCON attend ADCON, but membership has varied from time to time and the criteria for membership are unclear. ADCON does not meet on a regular basis, but attempts have been made to establish regular meetings

The Rare Books Committee advises on rare books policy and is composed of members of the Libraries' staff and experts from both within and outside of the Institution.

Two Task Forces have recently been appointed by the Director to deal with specific issues. The OCLC Task Force is preparing for the implementation of automated cataloging. It is chaired by the Chief of the Technical Processing Center and is composed of two members of the Cataloging Department, one member of the Acquisitions Department, a representative from Bureau Services and the Assistant to the Director for Planning and Research.

The Ad Hoc Committee on Training has prepared guidelines and recommended the approval of training for the first quarter of the year. The Committee is chaired by the MRAP Task Force chairperson for Staff Development and Training. The Committee is composed of members from Bureau Services, General Services and the Director's Office. Both Supervisors and non-supervisors serve on the Committee.

ANALYSIS OF THE ORGANIZATION

In the initial MRAP interviews (See Appendix A), heads of units expressed diverse opinions about how well the organization is functioning. Those who felt it is functioning well frequently compared it with the previous structure. Those who felt that the organization is not working well most frequently feel that the creation of two line departments make communication and decision-making difficult. Many problems in the functioning of the organization were attributed to the relative newness of the structure and especially the lack of clarity of areas of responsibility.

Lack of understanding of the structure was also expressed in the MRAP questionnaire (See Appendix B). Almost 40% of those responding indicated that they did not understand the present organizational structure. When the new organization

was announced, an organization chart was distributed to all staff. However, the chart had little detail and no meetings were held to explain reporting relationships or to clarify new areas of responsibility. A major concern expressed in interviews and questionnaires is the difficulty with lateral communication: that is, difficulty in communicating outside of the chain of command, across departmental lines and from line to staff.

The following section is an analysis of the present organization which focuses upon problems of coordination and communication which were expressed in interviews.

The Director

Interviews and questionnaires revealed the feeling by some staff that the Director does not have enough personal contact with the staff and is isolated from the problems of the Libraries. This may in part be due to a lack of understanding by the staff of the Director's view of his own role as the representative of the Libraries to the Institution and to the library profession. However, staff look primarily to the Director for leadership.

Administrative Services

Administrative Services took with it a great many functions which had been performed by the Administrative Librarian, the Administrative Officer and the former Assistant Director in their roles in the previous organization. The functions of the Office as described in the preceding section, are varied. They require knowledge of the Federal Government and Smithsonian Institution regulations. There is a great deal of paper work and considerable interaction with other offices of the Institution and the Civil Service Commission. For this reason, deadlines may be imposed by outside offices and delays may be the result of inaction in other offices. This situation, as well as the multiplicity of responsibilities with which the office is charged, make if difficult to establish priorities within the Office. As the Libraries' link with the Federal and Institutional bureaucracy, Administrative Services frequently is the target of criticism within the Libraries.

There appears to be confusion both within the Administrative Services office and among supervisors about the responsibilities of the Office and about where decision-making occurs. An Assistant Director reported that, in an attempt to clarify relationships, all request to the Administrative Services Office were required to be sent through channels. The Assistant Director reported that the results were unsatisfactory; it seemed that requests for typewriter ribbons were sent through channels, while requests for promotion were sought by going directly to Administrative Services.

Planning and Research

This Office has been newly created and has been principally involved in MRAP. Some precedents for handling budget preparation were established during the spring of this year although some questions exist about the possible overlap in budget responsibilities between the Planning Office and the Administrative Services Office.

General Services

Access Services

The Chief of Access Services reports to the Assistant Director for General Services. The former title of Access Services was the Reference and Circulation Division, and the functions of Access Services remain essentially the same. Some duties which had previously been performed by the Assistant Chief of Access Services when he was Assistant to the Director, were transferred to Access Services and continue to be carried out by the Assistant Chief of Access Services, for example, the Rare Books program and the tours of visitors and students.

Access Services was placed under General Services because Access Services is a general collection and provides general services to the entire Institution, whereas Bureau Services concentrates on specific bureaus and activities. Access Services' functions, however, are quite similar to, and frequently interdependent with Bureau Services' functions. For example, the Library of Congress Liaison, Lamont Street storage, and allocation of book and binding funds are areas in which Access Services' and Bureau Services' functions are interdependent. The Chief of Access Services frequently consults with Bureau Services personnel and is sometimes invited to attend meetings of Bureau Services Librarians. There is some feeling that communication between Access Services and Branch Librarians is made unnecessarily difficult because Access Services reports to the Assistant Director for General Services and Branch Librarians report to the Assistant Director for Bureau Services.

Technical Processes

When the Technical Processes Center was established to coordinate the activities of existing divisions and sections, no meetings were held nor directions given to indicate what the objectives of the Technical Processes Center were to be. At present, each unit head now reports to the Chief of Technical Processes. Each unit, however, appears to be functioning almost as it did before the reorganization. There appears to be little progress toward a Technical Processes Center which eliminates duplication and coordinates the flow of work.

The introduction of automated cataloging may be a first step in the direction of creating a unified Technical Processes

Center. The Acquisitions and Cataloging units are examining a problem together and attempting to work out a joint solution which will be best for the entire system.

The units within the Technical Processes Center are physically separated from each other, as well as from the office of the Chief of the Technical Processes Center. The card catalog, which both acquisitions and cataloging use, is removed from the acquisitions unit, and is located in a heavily trafficked corridor. The room in which acquisitions is located is too small to handle the flow of books and periodicals and incoming mail in an orderly fashion. It is too crowded for the personnel to work without distraction.

It is frequently reported that communication between Bureau Services personnel and Technical Processes personnel is difficult. Frequently, the Chief of Technical Processes and the Assistant Director for General Services, as well as the heads of the units are consulted about the same problem because there is confusion about their responsibilities.

Bureau Services

In order to be responsive to the recent emphasis on bureau level management, the Director believes that branch librarians should look to their bureaus for program direction and to the Assistant Director for Bureau Services for technical direction. At present, only one branch librarian has formally received this change.

The establishment of the Office of Assistant Director for Bureau Services focuses the Libraries' attention upon Branch Libraries. The creation of this Office is viewed as an opportunity for increased coordination and cooperation among Branch Librarians and as a means of providing Branch Librarians with more formal influence upon decisions made by the Technical Processes Center. The beginning of coordination and cooperation among Branch Librarians seems to be occuring. Branch Librarians also have had, on a number of occasions, opportunities to participate in decisions made by the Technical Processes Center. A pattern of formal consultation between Bureau Services and the Technical Processes Center, however, has not been adequately established. As previously stated, there are some difficulties in communication between Bureau Services personnel and General Services personnel, which sometimes impedes decision-making.

There are several areas which Bureau Services has recently begun to examine. The first is the definition of a Branch Library. At present, the criteria are not clearly defined. The Libraries perform a range of services and support to Bureaus and activities within the Institution. These levels of service and support to users are not well documented; an attempt is being made to clarify this issue. Furthermore, the factors which require

the establishment of a Branch location are not clear. Frequently it appears that the demands of a Bureau Director or the members of the curatorial staffs result in the establishment of a Branch location.

Another concern of Bureau Services is collection development. There is no formal collection development policy statement, although attempts have been made to develop one. Responsibility for allocation of book funds is unclear. In the past, departmental allocations were considered confidential information. This year, allocations were discussed in a meeting of all Bureau Services Librarians. The responsibility for selection seems unclear; there are selectors appointed for subject areas, but it is unclear who has final authority for selection decisions.

SUMMARY

Both Assistant Directors have stated that they wish to be informed only about decisions which affect Libraries' policies and do not wish to block lateral communication between Bureau Services personnel and General Services personnel. It appears to many staff, however, that decisions which could be made by first-line supervisors are often unnecessarily sent to a higher level. Furthermore, although line supervisors have indicated that they sometimes resent the decision-making roles which Administrative Services seems to undertake, there are frequent examples of line supervisors hesitating to make decisions in the areas for which Administrative Services is responsible.

The Task Force believes that in order for the organization to function smoothly the formal organization structure must be first understood. Many problems reported to the Task Force about the unwieldiness of the chains of command, the difficulties involved in decision-making and apparent failures to exercise authority seem to be related to the failure to understand roles and reporting relationships. Communication in an organization is, of course, never perfect. The Task Force recognizes that communication is an issue to which continued attention must be paid. In addition, the Task Force recognizes that factors other than formal reporting relationships and formally prescribed areas of authority and responsibility are involved in the actual functioning of an organization. We believe that flexibility and innovation in organizations are important and that too many formal rules may inhibit creativity. Nevertheless, we believe that the present situation calls for greater clarification and increased formalization in many areas. We believe that when a staff is informed and comfortable about the areas in which decisions can be made, the opportunity for innovation can exist.

SECTION THREE: RECOMMENDATIONS FOR CHANGE AND IMPROVEMENT IN LIBRARY ORGANIZATIONS

Useful, enforceable recommendations tend to focus on two or three areas of general concern, and are neither overly broad and all-encompassing, nor overly specific and narrow. Recommendations may focus upon areas such as improving interdepartmental problem-solving, creating new organizational capabilities, or strengthening working relationships. A study may conclude that there is a need for a basic regrouping of library activities, or that specific changes are needed in the present committee structure, or that there is a need for personnel with responsibilities in areas not currently provided for, such as instructional services or planning. Recommendations also may identify problems that require further study and investigation. The nature and the intentions of recommendations should be described specifically, along with their expected contributions to improved library performance.

The following are selected examples of recommendations:

* establishment of a selection committee to exchange information, coordinate decisions, and establish policy in the area of collection development for the central library, branch libraries, and affiliated libraries (e.g., law, medical, etc.);
* creation of a planning office to coordinate the process of developing plans, positions, policies, and budgets for the library;
* restructuring of reference and information services to centralize and extend user services;
* development of unit descriptions encompassing functions, performance criteria, reporting relationships, working relationships, and resources.

This section includes the following documents:

Recommended Plan of Organization, Columbia University

-from Organization and Staffing of the Libraries of Columbia University, A Case Study, 1973.

Organization Committee Report, Johns Hopkins University.

Rationale for Recommendations and Recommendations, University of Washington.

-from Report of the Management Study of the University of Washington Libraries, April-November 1973.

COLUMBIA UNIVERSITY

CHAPTER TWO

Recommended Plan of Organization

The ability of Columbia University's libraries to meet the challenges and demands of the future—to achieve their objectives, to build and maintain outstanding collections, and to provide programs and services vital to the university and society—will be determined largely by the way in which the libraries' human resources are organized to work together. The plan of organization recommended in this chapter should enhance the capacity of Columbia University's libraries to perform effectively in the decade ahead.

The need for reorganization of Columbia's libraries is fundamental. Knowledge is proliferating at an unprecedented rate, new modes of transmitting and recording information are available, and traditional disciplines are being subdivided into new specialties and blurred by interdisciplinary pursuits. The impact of these trends is manifest in the growing size, diversity, and complexity of library information resources and in the increased difficulty for faculty and students alike of drawing upon these resources effectively. As a result, research libraries more than ever before will need to develop more sophisticated capabilities to help the academic community obtain, gain access to, and draw upon the recorded information available to meet their research and instruction needs. At the same time that new levels of sophistication will be reached among some

user groups, beginning users will find the libraries increasingly complex and incomprehensible.

The present general plan of organization at Columbia is ill-equipped to develop needed service capabilities. This plan has been developed largely to administer library components as self-contained operations with executive professional staff responsible for a wide variety of academic service and resource areas. As a result, professional efforts are often spread thinly among many operating demands which inhibits development of specialized capabilities. Unless change is made, staff will increasingly be burdened with pressures for specialized user services they are unable to meet.

The plan of organization recommended in this chapter is geared to building service capabilities along two essential lines: (1) facilitating basic understanding of and access to library resources and services by all users (i.e., the services function) and (2) gaining full advantage for sophisticated users of complex information sources by making available specialized subject-competent professional capabilities (i.e., the resources function). Staffing patterns matched to the recommended organization plan are provided in Chapter III. Management approaches are suggested in Chapter IV.

REQUIREMENTS OF ORGANIZATION

The organization plan adopted for Columbia's research libraries should be geared to trends in higher education and to management principles.

Trends in Higher Education

Columbia's libraries should be organized in light of major trends in higher education and their implications for the organization and staffing of libraries, cited in Appendix A. Evaluating these trends leads to the conclusion that the organization of Columbia's libraries has lagged significantly. There is need for responsive information programs to meet a wider range of instructional and research requirements than ever before. Changing fields of interests and disciplines make it apparent that the research library can no longer continue

to mirror the academic programs of the university; this strategy is too expensive and difficult to keep up to date.

Columbia's centralized organization is well suited for coordinated program development, administration, and control. The present organization needs substantial strengthening, however, to be able to develop the professional service capabilities that will be required to keep pace with emerging fields and approaches to instruction and research, to assist faculty in curriculum planning, to provide backup instructional and reference assistance to students, and to maintain selective and meaningful control over collection priorities. In addition, the sheer volume of additions to Columbia's collections in the future and the growing academic need for access to information across subject fields will make it doubly important for the libraries to facilitate user access to their expanding resources.

A major drawback to the present plan is that the organization is primarily geared to administering thirty-five different libraries as self-contained operating units. This is fully effective only when users come to the libraries fully understanding their needs and having a good idea of the library resources available. Library efforts under the present plan therefore tend to become more concerned with such questions as physical access to and the security of the collections than with helping members of the academic community meet their current awareness needs and obtain the information and professional assistance needed to make their instructional and research activities truly effective. Thus, the organization tends to be rather rigid and not dynamic or flexible enough to develop specialized services that can be provided as needed.

The result of this organizational pattern is the deployment of valuable professional staff resources largely for purposes of administrative supervision and control, with inadequate provision for developing subject, bibliographic, research, and other professional competencies that could readily be used by the academic community. The structure and staff are more oriented to management and day-to-day operations than to critical functional areas or information problems that cut across administrative lines and that could result in substantial improvements in sophisticated services available to the university community.

Organization Principles

Principles that should be observed in organization planning have been identified through management analysis and experience over the years. Some principles are applicable in human enterprises generally. Others are applicable primarily in enterprises with particular types of objectives—such as the orientation of businesses to profit, health enterprises to patient care, and educational institutions to teaching, research, and community service. Columbia's libraries should be organized in accordance with organization principles applicable in the university research library field.

The present plan of library organization at Columbia is consistent with many of these management principles. The libraries benefit from system-wide leadership and coordination under a single director. The operating units are organized in divisions for administrative efficiency and professional leadership. In several respects, however, the present organization of Columbia's libraries should be strengthened. Valuable professional staff resources are presently spread thinly among a wide span of activities. This approach develops generalist administrative talents and offers flexibility in that staff can be readily shifted from one area to another. At the same time, however, this administrative orientation means that staff are less well able to develop specialized instructional, reference, research, and other sophisticated skills needed at a university. As a result, librarians have difficulty in building on their own special training and interests and in providing improved levels of professional service through extended experience.

PROPOSED OVERALL APPROACH TO ORGANIZATION FOR COLUMBIA UNIVERSITY LIBRARIES

Columbia University should now adopt a plan of organization for its libraries to prepare them to meet the needs of the future. The plan adopted should providefor:

- The university libraries to continue to be organized on a centralized basis

Recommended Plan of Organization

- The libraries to be headed by a single general executive officer with the title of Vice President and University Librarian
- The libraries to be organized internally in five major units that are mutually interdependent and work together closely and cooperatively
- A few libraries, namely the Law Library Center, the Medical Science Information Center, and the distinctive collections, to continue to report directly to the Vice President and University Librarian
- Working relationships to be clarified and strengthened between the university libraries and both the university administration and the faculties

These features are the essential elements of the recommended plan. Each is important to the success and effectiveness of the university libraries. The overall plan of organization is shown in Exhibit 16. The sections which follow describe in detail the plan's components.

Continued Centralized Organization

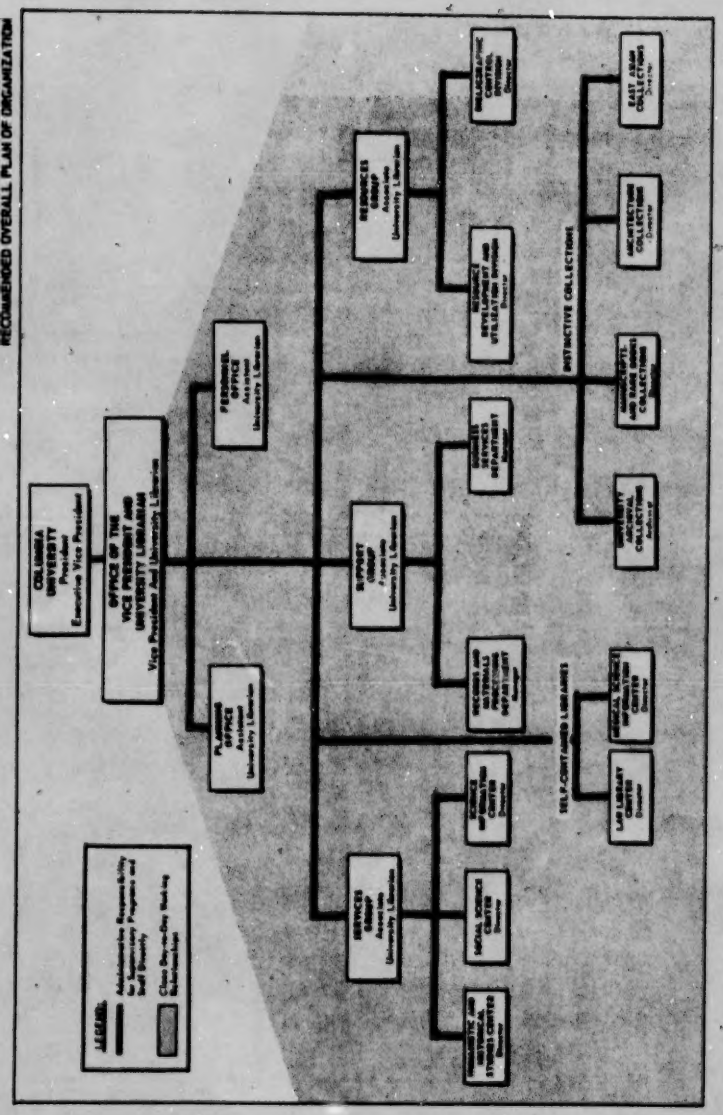
Columbia University, along with a few other institutions, is notable among major American universities in that its libraries have been organized on a centralized basis for decades. The university statutes provide that:

- "There shall be a director of libraries . . . who shall be the general executive officer of all libraries under the control of the university." (Ch. VIII, ¶ 80)
- "The director of libraries shall appoint all needed assistants and subordinate officers. . . ." (Ch. VIII, ¶ 81)
- "The designation 'librarian' shall apply only to an officer appointed as such. . . ." (Ch. VIII, ¶ 82)
- "All books . . . and other printed matter given to the university or purchased . . . shall be deemed a part of the libraries . . . and all such purchases shall be made by the libraries. . . ." (Ch. VIII, ¶ 83)

EXHIBIT 16

COLUMBIA UNIVERSITY

RECOMMENDED OVERALL PLAN OF ORGANIZATION



Recommended Plan of Organization

Whether it continues to be desirable for the Columbia libraries to be organized on a centralized basis was a major question addressed in the study. University libraries in America tend to be organized either along highly centralized or partially decentralized lines. Each of the two basic models has its own strengths and weaknesses which were evaluated in light of Columbia's requirements. Briefly, the characteristics of each system can be highlighted as follows.

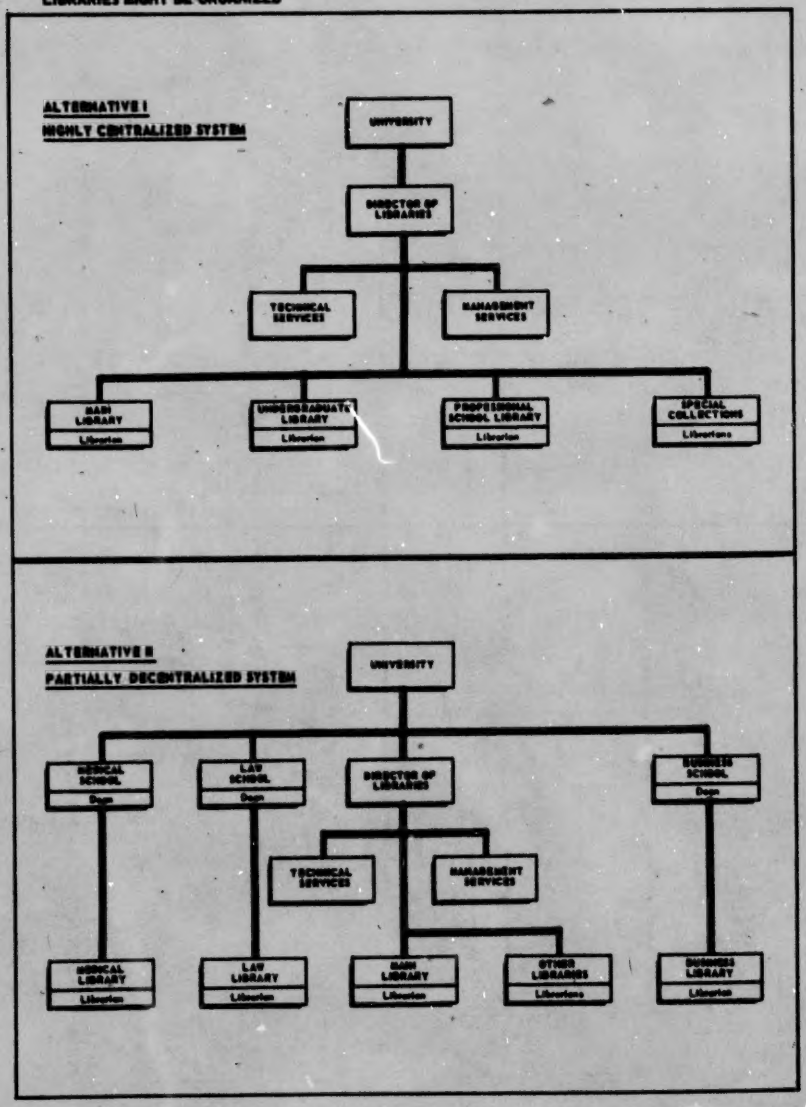
- *A Highly Centralized System*—Under the highly centralized university-wide system, the university libraries may or may not be centralized physically. Such a system is characterized by:
  - —The existence of a single university librarian as director of libraries with a central administrative support staff
  - —Central planning, policy formulation and enforcement, budget formulation and control, and personnel administration
  - —All librarians (including those serving professional schools) ultimately responsible to the single university librarian or director of libraries, even where activities are geographically decentralized

  Columbia University is one of a few institutions now organized on this basis.
- *A Partially Decentralized System*—A partially decentralized system has many of the characteristics of the fully centralized system, but significant exceptions are made for a few specialized libraries, such as those serving schools of law and medicine, which operate as relatively autonomous entities. This partially decentralized system is characterized by:
  - —A principal university library or group of libraries that serves the academic community as a whole, responsible to a university librarian or director of libraries
  - —One or more libraries that are not part of the library system and that:
    - May be responsible to deans or university officials other than the university librarian
    - May operate under budgets separate from the one for which the university librarian is responsible

EXHIBIT 17

COLUMBIA UNIVERSITY

ALTERNATIVE WAYS IN WHICH UNIVERSITY LIBRARIES MIGHT BE ORGANIZED



- May or may not be responsible for technical services in support of their own collections
- May or may not be available for use by the general academic community

This is the pattern of organization that, with variations, is in use at most American universities.

A chart of each alternative is presented in Exhibit 17.

A centralized plan of organization for the Columbia libraries will continue to meet the institution's total needs more effectively than the other major alternative or its possible variations. There are many persuasive reasons for continuing the centralized plan at Columbia. It offers real advantages in coordinating the development of library resources in accordance with university priorities. The plan has the advantage of maintaining the status of the libraries and enhancing their capacity to represent library concerns and needs effectively before university officials. The central approach also offers benefits in minimizing overlap and duplication and in developing specialized capabilities needed to serve the diverse needs of the academic community. Exhibit 18 presents a summary evaluation of each alternative. The centralized plan has proven to be extremely successful at Columbia. There is every reason to believe that this plan could be applied with benefit at other institutions.

Vice President and University Librarian

Columbia's libraries have long been headed by a single general executive who has held the title of Director of Libraries. In recent years, he has reported to the Executive Vice President for Academic Affairs and Provost.

For the future, it is proposed that the senior library executive have the title of Vice President and University Librarian. This seems entirely appropriate in view of:

- The major and increasing responsibility this individual is assigned as a general officer of the university
- The need for him to work as a peer with other senior members of the university's administration in planning for the university

EXHIBIT 18

Columbia University

EVALUATION OF ALTERNATIVE WAYS IN WHICH UNIVERSITY LIBRARIES MIGHT BE ORGANIZED

Centralized

Potential Advantages	Potential Disadvantages
. Assures coordination of library development for the university as a whole.	. Increases distance from primary user groups.
. Elevates the status of the library and enhances its capacity to represent library concerns and needs before central university officials.	. Loses sight of unique features of different collections or of different user group requirements by oversimplification.
. Helps avoid unnecessary duplication in collection development and service activities.	. Hampers efforts to gain funding support from different departments and schools that under this system are less directly responsible for supporting library development.
. Facilitates the allocation of limited financial and manpower resources among the various libraries according to priority needs.	. Can attract unfavorable attention to the total costs of university libraries without the buffer of schools and departments interceding on behalf of the libraries as they might under another system.
. Places responsibility for implementing university priorities in the hands of central professional library leadership, rather than leaving execution to academic, administrative, and other officials who may not be well prepared or knowledgeable about library needs as in a decentralized scheme.	. Increases the problems of relating library expenditures to concrete services provided to distinct user groups.
. Permits the development of system-wide specialized services that individual operating units typically could not afford.	. Can exaggerate the performance of specific functions for their own sake by virtue of size and functional specialization.
. Broadens the career opportunities for professional staff by (1) bringing together all library activities in a single system and (2) encouraging specialization to occur by drawing on professional talents and interests.	

Partially Decentralized

Potential Advantages	Potential Disadvantages
. Allows the development of a large centralized resource center which serves as research and collection backup for branch libraries.	. Has many of the limitations listed for centralized systems as well as other difficulties.
. Attempts to gain the strengths of department libraries, such as relationships with faculties, convenience of collections, and sophistication of services.	. Inhibits the system's capacity to develop sophisticated reader and other services that can be made available to all operating units.
	. Limits the university's capacity to evaluate, for example, collection development priorities among the main libraries and other units. Encourages duplication.
	. Encourages the development of costly library collections, staff, and facilities for each new or existing school or department as a matter of precedent and status.

and its libraries on an integrated basis, and in formulating and enforcing a major budget and policies of significance to all or most elements of the university

- The need for him to work closely with and represent the university administration to the faculty, the faculty senate, and senate committees
- The magnitude of his responsibilities measured in terms of:
  - —The importance and size of library collections and library programs and services
  - —The number of library staff members to whom he must provide professional leadership and executive directions
  - —The size of the operating budget for which he is responsible
- The need for him to represent the university at highest levels on a broad basis to:
  - —Other universities
  - —Scholarly organizations
  - —Professional organizations
  - —Cooperative organizations in the library field
  - —Federal, state, and local government agencies
  - —Other organizations

The libraries are a vital and integral part of Columbia. Under the recommended plan of organization, the Vice President and University Librarian should be regarded as part of the university's top administration. The President and Executive Vice President for Academic Affairs and Provost should regard him as a member of the university's key management team, a member of their immediate staff, and a member of the presidential cabinet. The Vice President and University Librarian should also regard himself as a member of top management responsible for providing executive direction to the libraries as a critical component of the university's total resources. He should relate to the other vice presidents of the university as a peer and a co-responsible member of the executive group. Exhibit 19 reflects the relationships that should prevail.

The Vice President and University Librarian should be responsible directly to the Executive Vice President for Academic Affairs and Provost. He should take continuing direction from the Executive Vice President. At the same time, he should provide advice, counsel,

EXHIBIT 19

COLUMBIA UNIVERSITY

RECOMMENDED RELATIONSHIPS BETWEEN THE LIBRARIES AND THE UNIVERSITY ADMINISTRATION AND FACULTIES

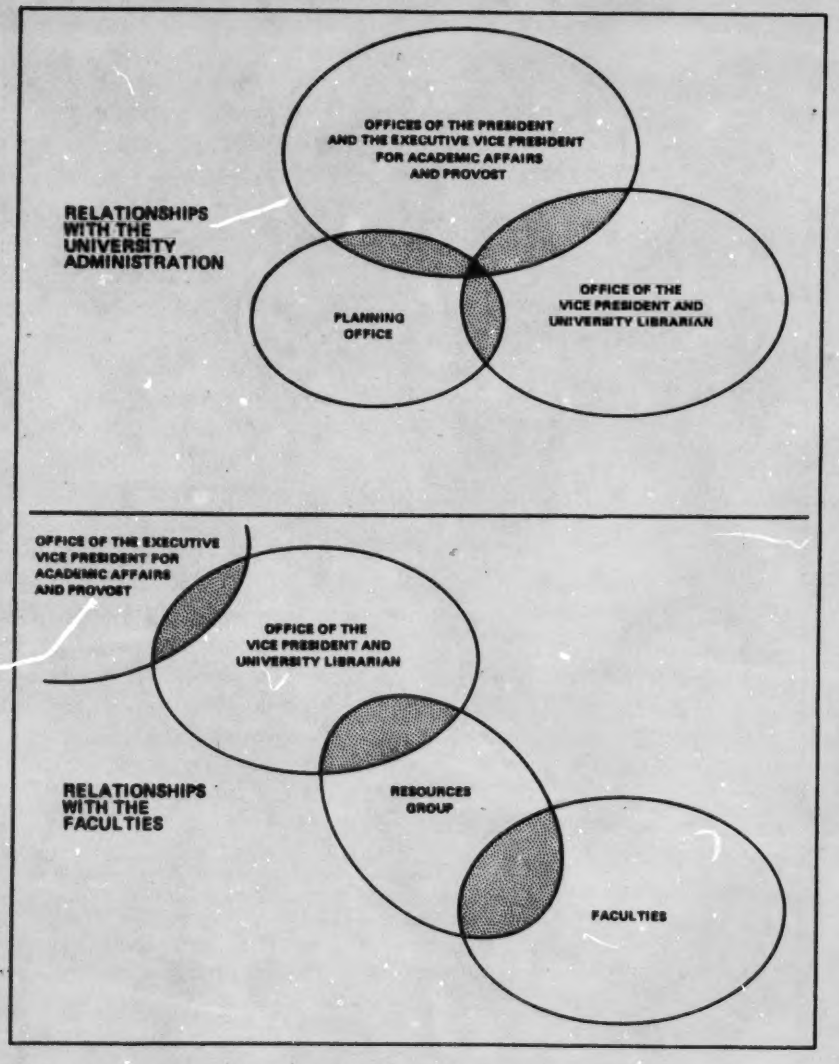
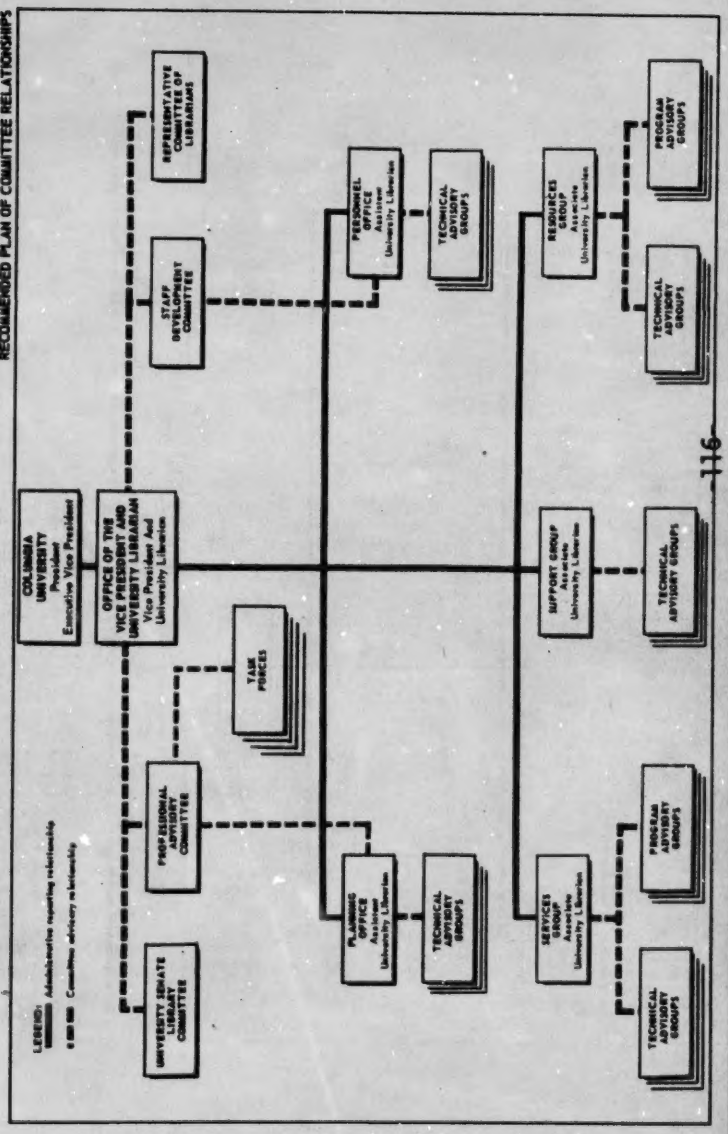

RELATIONSHIPS WITH THE UNIVERSITY ADMINISTRATION
OFFICES OF THE PRESIDENT AND THE EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS AND PROVOST
PLANNING OFFICE
OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
RELATIONSHIPS WITH THE FACULTIES
OFFICE OF THE EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS AND PROVOST
OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
RESOURCES GROUP
FACULTIES

EXHIBIT 20

COLUMBIA UNIVERSITY

RECOMMENDED PLAN OF COMMITTEE RELATIONSHIPS


COLUMBIA UNIVERSITY President Executive Vice President
OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN Vice President And University Librarian
REPRESENTATIVE COMMITTEE OF LIBRARIANS
STAFF DEVELOPMENT COMMITTEE
PERSONNEL OFFICE Assistant University Librarian
TECHNICAL ADVISORY GROUPS
RESOURCES GROUP Associate University Librarian
PROGRAM ADVISORY GROUPS
TECHNICAL ADVISORY GROUPS
TASK FORCES
SUPPORT GROUP Associate University Librarian
TECHNICAL ADVISORY GROUPS
PROFESSIONAL ADVISORY COMMITTEE
PLANNING OFFICE Assistant University Librarian
TECHNICAL ADVISORY GROUPS
SERVICES GROUP Associate University Librarian
PROGRAM ADVISORY GROUPS
UNIVERSITY SENATE LIBRARY COMMITTEE
TECHNICAL ADVISORY GROUPS
LEGEND:
Administrative reporting relationship
Committee advisory relationship

and staff assistance to the Executive Vice President and the President on both library and general university matters.

Committees and Advisory Groups

Within and related to Columbia's libraries, there should be formally organized committees and advisory groups. These are essential to conduct the ongoing work of the libraries and to provide a strong, effective approach to management and professional activities. These groups should also provide library staff members and faculty members who wish to do so with opportunities to participate in and contribute to the work of the libraries.

To meet anticipated needs at Columbia, it is recommended that:

- The present University Senate Library Committee be continued without change in its functions or composition
- The Representative Committee of Librarians be continued but that it not be assigned specialized tasks which might detract from its basic purpose
- A major Professional Advisory Committee be established to be concerned comprehensively with the work of the libraries at Columbia
- A Staff Development Committee be established to advise on and participate in the staff development activities proposed in Chapter IV
- Program advisory groups and technical advisory groups be appointed by unit heads to assist them in their work

Specific committees and advisory groups that should be appointed are shown in Exhibit 20. Exhibit 21 provides more detailed information about each proposed group, and sets forth the overall organization and committee structure.

PROPOSED ADMINISTRATIVE ORGANIZATION

Within the libraries of Columbia University, in addition to the office of the Vice President and University Librarian, there should be

EXHIBIT 21 (1)

Columbia University

RECOMMENDED COMMITTEE RESPONSIBILITIES AND CHARACTERISTICS

Unit	Responsibilities	Work Assignments Made by:	Number of Members
University Senate Library Committee	. To "review and recommend university policies relating to the university libraries so as to advance the role of the libraries in the effectuation of the university's educational purposes." . To "work with the libraries, the president and the trustees to effectuate such policies." . (Established by the By-Laws, Statutes, and Rules of the Columbia University Senate, Section 3 (f) (12).) . To "report recommendations for consideration and action by the senate as a whole." (Section 3 (c).)	. Committee initiative	13 Total . 4 tenured faculty . 1 nontenured faculty . 3 students . 1 administration . 3 library staff . 1 research staff
Professional Advisory Committee	. To provide comprehensive professional advice and counsel to the Vice President and University Librarian. . To conduct specific studies in professional areas, usually through appointment of a task force. . To provide comprehensive advice and counsel to the Planning Office.	. Vice President and University Librarian	12 Total . Professional library staff . Faculty members with outstanding qualifications
Task Forces	. To conduct specific studies assigned by the Professional Advisory Committee. . To report findings and recommendations to the Professional Advisory Committee.	. Chairman of the Professional Advisory Committee with the concurrence of the Vice President and University Librarian	3-10 Total . Professional library staff . Specialist and clerical library staff . Faculty members . Students . Others
Representative Committee of Librarians	. To consider matters of concern to librarians. To discuss these informally with the Vice President and University Librarian. . To receive informal reports of library plans, progress, and problems from the Vice President and University Librarian. To discuss these informally.	. Committee initiative . Request of the Vice President and University Librarian	7 Total . Elected members of the professional staff

EXHIBIT 21 (2)

Members Selected by:	Duration of Assignment	Comment
. Election by the Senate on nomination of the Executive Committee of the Senate	. Continuing	. Is a committee of the university Senate rather than of the libraries
Appointment by the Vice President and University Librarian Library staff members generally selected from a panel of names developed by the Representative Committee of Librarians Chairman appointed by the Vice President and University Librarian	. Continuing . Specific assignments to be completed within designated time period	. Is the senior professional committee of the libraries . Most matters of professional significance should be submitted to it for study and/or review prior to action on the part of the Vice President and University Librarian
Appointment by the Chairman of the Professional Advisory Committee with the concurrence of the Vice President and University Librarian Chairman appointed by the Chairman of the Professional Advisory Committee	. Specified, limited time period within which assignment is to be completed . Task force discharged upon completion of assignment	. A number of task forces will be at work at any one time . Work assignments may be given in any professional or technical area . Size and membership of the task force should be determined by assignment . Written assignment instructions and time period should be provided . Written reports should be required . Composition of task forces should include at least one beginning professional
Election by librarians Chairman elected by committee	. Continuing	. Acts as ombudsman for individual librarians . Committee and Vice President and University Librarian should meet monthly . Meetings should be informal with a free two-way exchange of views . Committee should rarely be asked to undertake specific work assignments

Unit	Responsibilities	Work Assignments Made by:	Number of Members
Staff Development Committee	. To review and recommend adoption of staff development plans. . To review performance of individual professional staff members on a periodic, scheduled basis. . To recommend steps to advance professional development.	. Request of Vice President and University Librarian and/or Assistant University Librarian for Personnel	3-8 Total . Professional library staff members
Program Advisory Groups	. To provide comprehensive advice and counsel on program matters to Associate University Librarians. . To conduct specific program studies and recommend action.	. Request of the Associate University Librarians	3-10 Total . Library staff members . Faculty members . Students . Others
Technical Advisory Groups	. To provide advice and counsel on technical matters. . To conduct specific technical studies and recommend action.	. Request of the Associate or Assistant University Librarians	3-10 Total . Library staff members . Faculty members . Students . Others

Members Selected by:	Duration of Assignment	Comment
• Appointment by the Vice President and University Librarian • Members generally selected from a panel of names developed by the Representative Committee of Librarians • Chairman appointed by the Vice President and University Librarian • Members generally senior professional staff members who do not have major administrative assignments	• Continuing	• Committee to meet at least monthly to review performance of professional staff members on a scheduled basis • Staff members to be reviewed: - Every six months during first two years - Annually during third to tenth year - Every two years after the tenth year • Assistant University Librarian for Personnel to provide staff assistance and serve as Secretary of committee
• Appointment by the Associate University Librarians • Composition based on work assigned • Chairman designated by Associate University Librarians	• Continuing or for specific time period at the option of the Associate University Librarians	• Associate University Librarian heading each group appoints program advisory groups at his initiative • Work assignments may be general or specific
• Appointment by the Associate or Assistant University Librarians • Composition based on work assigned • Chairman designated by Associate or Assistant University Librarians	• Specific, limited time period within which assignment is to be completed	• Each Associate or Assistant University Librarian appoints technical advisory groups he wishes • Work assignments may be given in any technical area • Size and composition of group should be determined by assignment • Written assignment instructions and time schedule should be provided

five major organization units. These units, shown earlier in Exhibit 16, should be the:

Planning Office, *Personnel Office* } Two system-wide staff offices that support and are intimately related to the office of the Vice President and University Librarian

Services Group, *Support Group*, *Resources Group* } Three large mutually interdependent units with major operating responsibilities

In addition, also reporting directly to the Vice President and University Librarian are the Law Library Center, the Medical Science Information Center, and the distinctive collections. These libraries, for reasons set forth later, are not appropriately within the Resources and Services Groups, although they are fully integrated components of the entire system.

The recommended plan is a significant departure from the present plan in use at Columbia and at other universities' libraries. The traditional division of activities between (l) reader or user services and (2) technical services is not followed. Rather, all activities are redistributed, expanded in concept, and enhanced in emphasis. This is especially true with respect to the resources area where it is proposed that professional work be heavily concentrated.

It should be noted that in the recommended plan the:

Services Group will include a few professional staff members and many technical and support staff members, will serve library users on a day-to-day basis, and will . . .

Operate service centers (bringing together existing small service units) that will:

- Serve library users' immediate needs
- Provide first-line information and referral services
- Provide self-service access to library collections
- Provide ready reference assistance

Resources Group will comprise primarily professional staff, will work primarily with faculty and researchers, and will...

Plan and carry out programs and services of:

- Collection development and preservation
- In-depth reference and research assistance
- Classroom instruction assistance and participation
- Original cataloging

Recommended Plan of Organization

Support Group will include a few professional staff members and many technical and support staff members, and will . . .

Provide support services to the Services Group and the Resources Group, including:

- Acquisition of library materials
- Production of bibliographic records
- Processing of library materials
- Photographic services
- Routine computer services
- Facilities management and security
- Fiscal control

More detailed descriptions of these major units and their subordinate units are presented in the following sections of this chapter. Staffing plans for each are presented in Chapter III. These units and the way in which major functions should be distributed among them are shown in Exhibit 22.

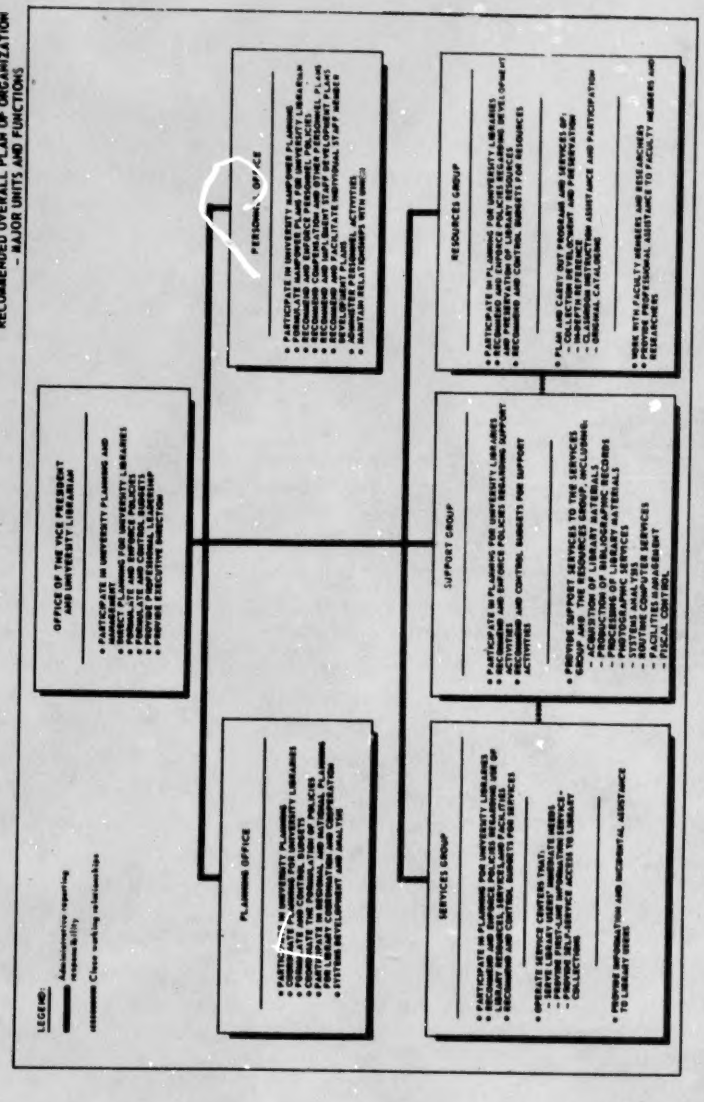
The Services Group

Reader services encompass a range of library programs and services. In the present plan of organization, highly skilled professionals are assigned to many positions involving direct contact with library users, regardless of the sophistication of the encounter. These same professionals also have additional responsibilities such as book selection, program planning, current awareness, development of bibliographies, in-depth reference, and maintenance of faculty relations.

In evaluating the present plan of organization, it was found valuable to categorize library programs presently offered as a basis for organizing and staffing these services according to skill requirements and user needs. Three categories of reader services have been defined:

- Primary, first-line services to help library users understand and utilize the immediate facility and available information resources
- Intermediate, second-line services to interpret library resources in terms of specific, individual information requests
- Advanced, third-line services to relate the library information resources to serve the advanced scholarly and research needs of the academic community

EXHIBIT 22
COLUMBIA UNIVERSITY
RECOMMENDED OVERALL PLAN OF ORGANIZATION
– MAJOR UNITS AND FUNCTIONS


LEGEND:
Administrative reporting responsibility
Close working relationships
OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
• PARTICIPATE IN UNIVERSITY PLANNING AND MANAGEMENT
• PERSONALLY PLANNING FOR UNIVERSITY LIBRARIES
• FORMULATE AND ENFORCE POLICIES
• FORMULATE AND CONTROL BUDGETS
• PERSONALLY DIRECT SELECTED FUNCTIONS
• PROVIDE EXECUTIVE DIRECTION
PERSONNEL OFFICE
• PARTICIPATE IN UNIVERSITY MANPOWER PLANNING
• FORMULATE MANPOWER PLANS FOR UNIVERSITY LIBRARIES
• RECOMMEND AND ENFORCE PERSONNEL POLICIES
• RECOMMEND AND CONTROL PERSONNEL BUDGETS
• RECRUIT AND FACILITATE INDIVIDUAL STAFF MEMBER DEVELOPMENT PLANS
• ADMINISTER PERSONNEL ACTIVITIES
• MAINTAIN RELATIONSHIPS WITH UNIONS
RESOURCES GROUP
• PARTICIPATE IN PLANNING FOR UNIVERSITY LIBRARIES
• RECOMMEND AND ENFORCE POLICIES REGARDING USE OF AND PRESERVATION OF LIBRARY RESOURCES
• RECOMMEND AND CONTROL BUDGETS FOR RESOURCES
• PLAN AND CARRY OUT PROGRAMS AND SERVICES OF:
– COLLECTION DEVELOPMENT AND PRESERVATION
– IN-DEPTH REFERENCE
– CLASSROOM INSTRUCTION ASSISTANCE AND PARTICIPATION
– ORIGINAL CATALOGING
• WORK WITH FACULTY MEMBERS AND RESEARCHERS
• PROVIDE PROFESSIONAL ASSISTANCE TO FACULTY MEMBERS AND RESEARCHERS
SUPPORT GROUP
• PARTICIPATE IN PLANNING FOR UNIVERSITY LIBRARIES
• RECOMMEND AND ENFORCE POLICIES REGARDING SUPPORT ACTIVITIES
• RECOMMEND AND CONTROL BUDGETS FOR SUPPORT ACTIVITIES
• PROVIDE SUPPORT SERVICES TO THE SERVICES GROUP AND THE RESOURCES GROUP, INCLUDING:
– ACQUISITION OF LIBRARY MATERIALS
– PRODUCTION OF BIBLIOGRAPHIC RECORDS
– PROCESSING OF LIBRARY MATERIALS
– PHOTOGRAPHIC SERVICES
– SYSTEMS ANALYSIS
– ROUTINE COMPUTER SERVICES
– FACILITIES MANAGEMENT
– FISCAL CONTROL
PLANNING OFFICE
• PARTICIPATE IN UNIVERSITY PLANNING
• PERSONALLY PLAN FOR UNIVERSITY LIBRARIES
• COORDINATE THE FORMULATION OF POLICIES
• PERSONALLY DIRECT SELECTED FUNCTIONS
• PARTICIPATE IN BUDGET AND MATERIAL PLANNING
• PROVIDE EXECUTIVE DIRECTION
• SYSTEMS DEVELOPMENT AND ANALYSIS
SERVICES GROUP
• PARTICIPATE IN PLANNING FOR UNIVERSITY LIBRARIES
• RECOMMEND AND ENFORCE POLICIES REGARDING USE OF
• RECOMMEND AND CONTROL BUDGETS FOR SERVICES
• OPERATE SERVICE CENTERS THAT:
– SERVE LIBRARY USERS' IMMEDIATE NEEDS
– PROVIDE FIRST-LINE INFORMATION SERVICES
– PROVIDE SELF-SERVICE ACCESS TO LIBRARY COLLECTIONS
• PROVIDE INFORMATION AND BIBLIOGRAPHIC ASSISTANCE TO LIBRARY USERS

In considering the demands of primary and intermediate services, it was apparent that, while some professional leadership was indeed required at strategic points, many of the activities could be as well carried out by well-trained staff members who are not professional librarians. To be effective, those delivering first- and second-line services would need to be knowledgeable about library resources and their access points and be able to orient and direct users properly to the service needed. These activities would not, however, require the extensive academic training and competence of a professional librarian. The professional role would be to design, plan, oversee, and evaluate the service mechanisms needed and to develop competent staff resources to serve the user directly.

In accordance with this analysis, the proposed plan of organization of Columbia's libraries provides for the establishment of a Services Group. The group, headed by an Associate University Librarian, should be responsible for providing library services to members of the academic community on a day-to-day basis. It should be responsible for a spectrum of direct and basic service delivery and associated support systems, including the operation of subject centers, first- and second-line information services, self-service access to library collections, and maintenance of facilities. Specifically, these include:

- Primary, first-line services to help library users understand and utilize the immediate facility and available information resources
  - —Explanation of library rules, regulations, and procedures
  - —Directory assistance in identifying the location of required facilities, services, or materials
  - —Reader assistance in general organization and use of catalog
  - —Circulation of library materials
  - —Borrowing required materials not in present collection
  - —Providing photocopy services to duplicate materials
  - —Paging requested materials
  - —Support activities of reshelving, shifting, cleaning, repairing, and maintaining collections
  - —Operation of self-service units such as reading and study facilities
  - —Collection security

- Intermediate, second-line services to interpret resources in terms of specific, individual information requirements
  - —Identification of required materials through use of bibliographies, indexes, abstracts, or other bibliographic tools
  - —Determination of materials available locally through the use of holding lists, catalogs, or other tools
  - —Interpretation of library files and records
  - —Location of required materials not available locally
  - —Instruction in the use of library tools, resources, and services
  - —Assistance in determining answers to requests for facts, data, addresses, or other information problems of a general nature

In addition to these specific activities, the Services Group should have overall responsibility for (1) participation in planning for the university libraries, particularly in regard to the development of service capabilities; (2) development and enforcement of policies regarding use of library collections, services, and facilities; and (3) recommendation and control of budgets for units and staff in the services area.

The Services Group should comprise three major organizational units or subject centers: a Humanistic and Historical Studies Center, a Social Science Center, and a Science Information Center. Initially, the available facilities will not permit complete geographic consolidation of all operating units into these three centers. Furthermore, the scope of the study did not permit the consultants to reach a professional conviction that physical consolidation would be desirable in all cases.

Each of the subject centers within the Services Group should be organized internally to include:

- An *Access Services Department* to provide direct assistance in locating required library materials locally or elsewhere and to administer large-scale circulation services and operation and maintenance of facilities that expedite access to and use of the collections. Specific areas of responsibility include:
  - —Catalog assistance
  - —Bibliographic assistance
  - —Directional information
  - —Supervision of circulation and stack operations

—Operation of interlibrary loan and servicing of microforms
—Periodical and document reading rooms

- An *Instructional Materials and Services Department* to provide assistance to undergraduates, graduates, and users new to the library system in understanding and effectively using library resources and services. This activity should be a priority concern of each center and include the provision of student advisory services, reserve book services, and duplicate collections services.
- *Allied libraries* to provide geographically decentralized services. These libraries should be strongly related by subject to the primary centers and should be organized to provide a full range of services with minimal staff, relying on the subject center for leadership and support. They should not duplicate the resources of the centers and, in most cases, will represent small special collections such as the Music Library or the Fine Arts Library. The Business and Economics Library is an exception; its size and importance suggest development along a subject center line, but within the context of an allied library to the Social Science Center. (See staffing tables in Chapter III for the detailed organization and staffing of the Business and Economics Library.)

The Associate University Librarian for Services should be responsible for the development and operations of all subject centers. Directors of the subject centers should report to this officer and should be responsible for all units within their respective centers.

Allied libraries represent a more complex situation. In the small units designated as allied libraries, the senior librarian must continue to perform multiple service and resource roles. He should report to his subject center director in areas of service and facility operation, and to the appropriate department in the Resources Group in the areas of collection development and cataloging.

Exhibits 23, 24, and 25 indicate the specific departments, libraries, and other units that should be included in the three major service centers. Chapter III indicates the staff that should be assigned to the units.

EXHIBIT 23
COLUMBIA UNIVERSITY
RECOMMENDED ORGANIZATION OF THE HUMANISTIC AND HISTORICAL STUDIES CENTER WITHIN THE SERVICES GROUP

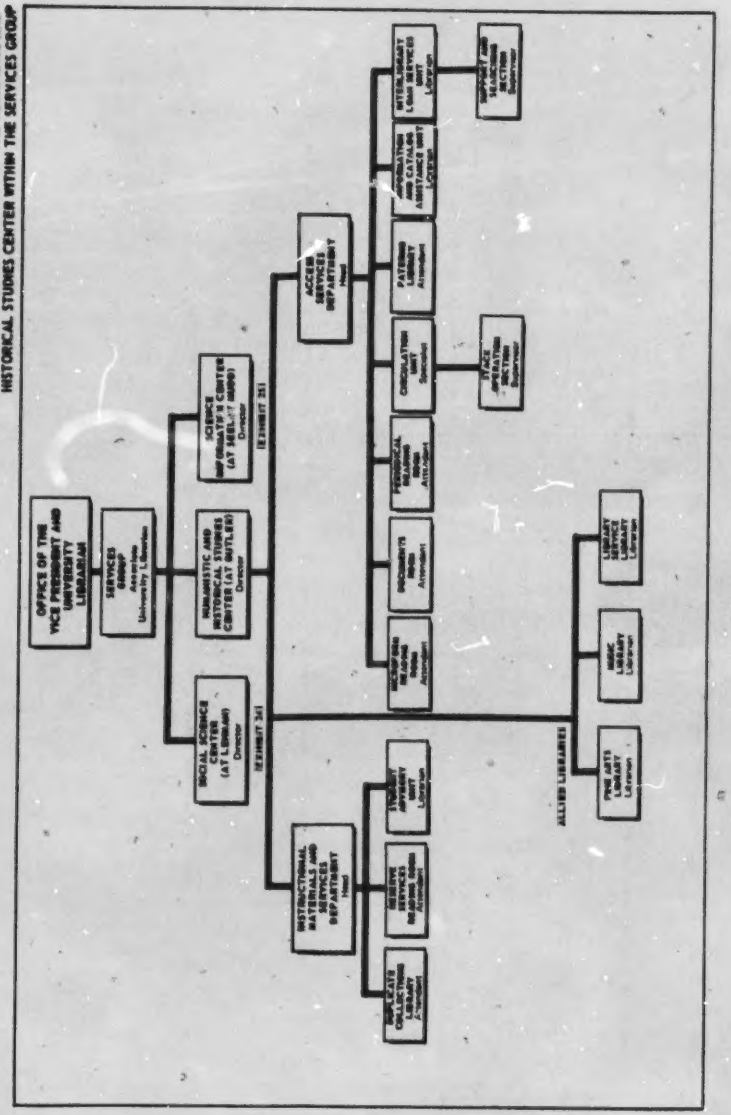

OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
SERVICES GROUP
HUMANISTIC AND HISTORICAL STUDIES CENTER (AT BUTLER)
SOCIAL SCIENCE CENTER (AT LEHMAN)
SCIENCE INFORMATION CENTER (AT SEELEY G. MUDD)
ACCESS SERVICES DEPARTMENT
INSTRUCTIONAL MATERIALS AND SERVICES DEPARTMENT
ALLIED LIBRARIES
MUSIC LIBRARY
FINE ARTS LIBRARY

EXHIBIT 24

COLUMBIA UNIVERSITY

RECOMMENDED ORGANIZATION OF THE
SOCIAL SCIENCE CENTER WITHIN THE SERVICES GROUP

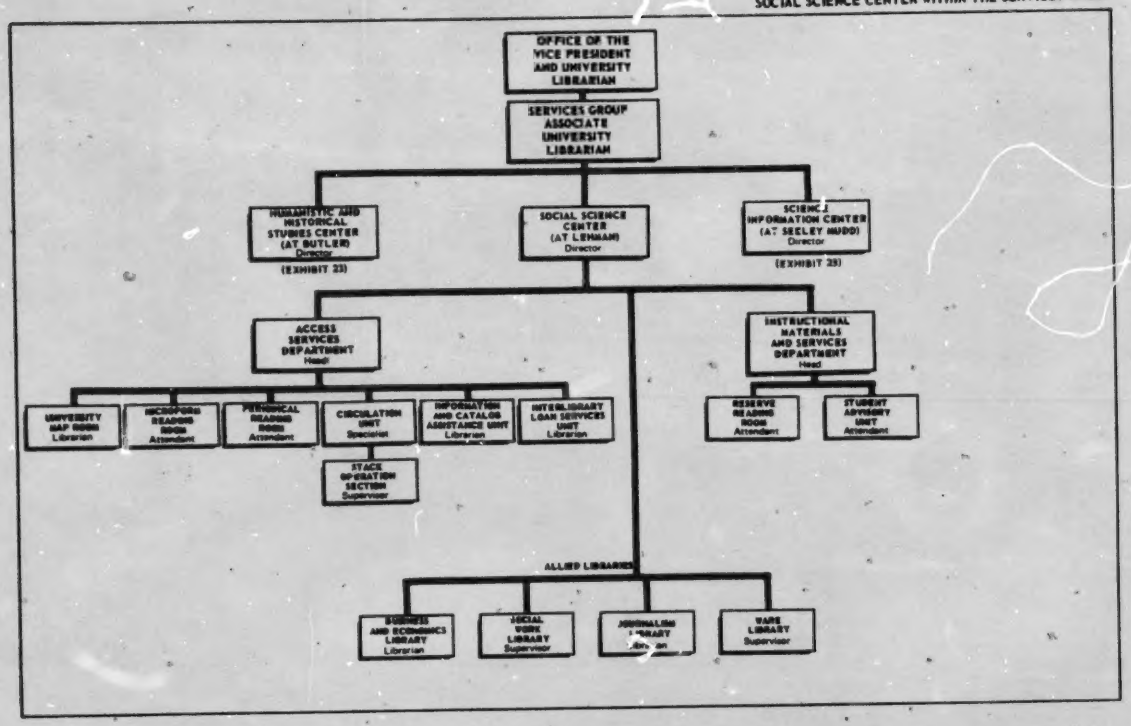
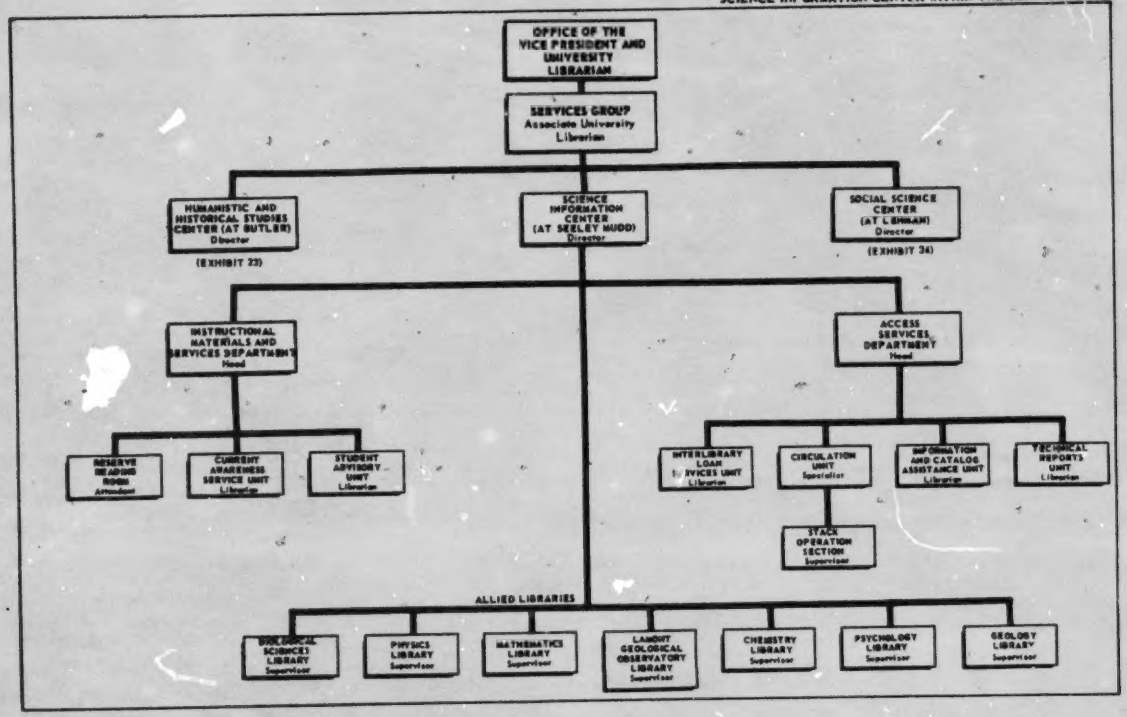

OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
SERVICES GROUP ASSOCIATE UNIVERSITY LIBRARIAN
HUMANISTIC AND HISTORICAL STUDIES CENTER (AT BUTLER) Director
(EXHIBIT 23)
SOCIAL SCIENCE CENTER (AT LEHMAN) Director
SCIENCE INFORMATION CENTER (AT SEELEY MUDD) Director
(EXHIBIT 25)
ACCESS SERVICES DEPARTMENT Head
INSTRUCTIONAL MATERIALS AND SERVICES DEPARTMENT Head
UNIVERSITY MAP ROOM Librarian
MICROFORM READING ROOM Attendant
PERIODICAL READING ROOM Attendant
CIRCULATION UNIT Specialist
INFORMATION AND CATALOG ASSISTANCE UNIT Librarian
INTERLIBRARY LOAN SERVICES UNIT Librarian
RESERVE READING ROOM Attendant
STUDENT ADVISORY UNIT Attendant
STACK OPERATION SECTION Supervisor
ALLIED LIBRARIES
BUSINESS AND ECONOMICS LIBRARY Librarian
SOCIAL WORK LIBRARY Supervisor
JOURNALISM LIBRARY Librarian
WAR LIBRARY Supervisor

EXHIBIT 25

COLUMBIA UNIVERSITY

RECOMMENDED ORGANIZATION OF THE
SCIENCE INFORMATION CENTER WITHIN THE SERVICES GROUP


OFFICE OF THE VICE PRESIDENT AND UNIVERSITY LIBRARIAN
SERVICES GROUP Associate University Librarian
HUMANISTIC AND HISTORICAL STUDIES CENTER (AT BUTLER) Director
(EXHIBIT 23)
SCIENCE INFORMATION CENTER (AT SEELEY MUDD) Director
SOCIAL SCIENCE CENTER (AT LEHMAN) Director
(EXHIBIT 24)
INSTRUCTIONAL MATERIALS AND SERVICES DEPARTMENT Head
ACCESS SERVICES DEPARTMENT Head
RESERVE READING ROOM Attendant
CURRENT AWARENESS SERVICE UNIT Librarian
STUDENT ADVISORY UNIT Librarian
INTERLIBRARY LOAN SERVICES UNIT Librarian
CIRCULATION UNIT Specialist
INFORMATION AND CATALOG ASSISTANCE UNIT Librarian
TECHNICAL REPORTS UNIT Librarian
STACK OPERATION SECTION Supervisor
ALLIED LIBRARIES
BIOLOGICAL SCIENCES LIBRARY Supervisor
PHYSICS LIBRARY Supervisor
MATHEMATICS LIBRARY Supervisor
LAMONT GEOLOGICAL OBSERVATORY LIBRARY Supervisor
CHEMISTRY LIBRARY Supervisor
PSYCHOLOGY LIBRARY Supervisor
GEOLOGY LIBRARY Supervisor

The Resources Group

The Resources Group should bring together subject-oriented professional librarian skills and direct them toward the development, organization, preservation, and utilization of the information resources required by the academic community. Individuals in the group should be given the flexibility to perform without the burden of desk schedules and less complex information requests. In addition to meeting rigorous and demanding library service requests, this group should provide dynamic library services that go beyond the boundaries of the library and into the classroom, the professor's office, and the scholarly meeting. The basic functions of the Resources Group should be to build library collections, make available a wide array of sophisticated subject and technical capabilities, and draw upon external resources effectively. An integral part of this responsibility will be to provide advanced, third-line reader services that serve the sophisticated information needs of the academic community. These activities include:

- Advising and counseling faculty and students to capitalize on library resources and services in dealing with specific instructional and research problems, such as the strategy for a thesis
- Providing detailed, in-depth reference assistance by subject-competent specialists
- Relating library resources to instructional programs by working in planning projects, developing curricula, making presentations in classrooms, and making the library a teaching laboratory
- Developing relations with and among reader service units aimed at coordinating programs, collections, and services; monitoring the flow of user requests and the success with which they are handled; and sharing mutually useful information on professional and organizational topics
- Securing appropriate resources by identifying new materials needed in developing collections and monitoring the acquisition policies of all units within the system
- Establishing the organization and bibliographic control of library resources, including creation of original catalog records, bibliographic policies, authority rules, points of access, and thesauri

- Identifying materials that require preservation decisions in terms of binding, microfilming, special care, reprinting, or other maintenance activities
- Planning, developing, and operating current awareness activities such as annotated lists of new acquisitions or SDI programs

—Teaching and research in library-related subject fields
—Planning and program development for reader services

In addition, the Resources Group should have overall responsibility for planning the resource capability of the university libraries, recommending policies regarding development and organization of resources, preparing budgets for operation of the Resources Group and for collection development, and providing professional assistance to faculty members and researchers.

The Resources Group should be headed by the Associate University Librarian for Resources. He should possess the academic credentials and presence to perform as the primary liaison with the academic community and provide intellectual and professional leadership to the resources staff.

Two major divisions within the Resources Group should focus professional activities along the functional lines of (1) development and use of resources and (2) organization and bibliographic control of materials:

- *The Resource Development and Utilization Division* should have units corresponding to each of the three subject centers and should perform required collection development activities, backup reference support, and subject-oriented faculty and research liaison. In addition, the division should coordinate the resource development capabilities in the law, medical, and distinctive collections libraries.
- *The Bibliographic Control Division* should have units for the subject centers and the law, medical, and distinctive collections libraries. This division should exercise administrative control over the cataloging activities in all areas of the library system. Cataloging responsibilities should cover both monographs and serials.

Recommended Plan of Organization

In addition to the major divisions, the Resources Group, under the direction of the Associate University Librarian for Resources, should establish two staff assistant positions.

- The *Coordinator of Instructional Programs* should be responsible for coordinating instructional programs of the libraries in terms of working with committees, developing new programs, and operating a lecture schedule.
- The *Coordinator of Current Awareness Programs* should be responsible for coordinating the current awareness activities in terms of identifying unmet requirements, planning programs, and developing special operations such as use of census tapes.

It is recognized that the same staff may have the subject or technical competence to function in both of the above divisions, performing cataloging, selection, preservation, and in-depth research and reference activities. These staff members will need to maintain multiple reporting relationships and their respective supervisors will need to negotiate the allocation of time among the different units and activities, with appropriate input from the individual.

The staff should comprise primarily highly qualified librarians, many of whom should have multiple qualifications. The staffing complement of the group should work closely with faculty members, as proposed earlier in this chapter.

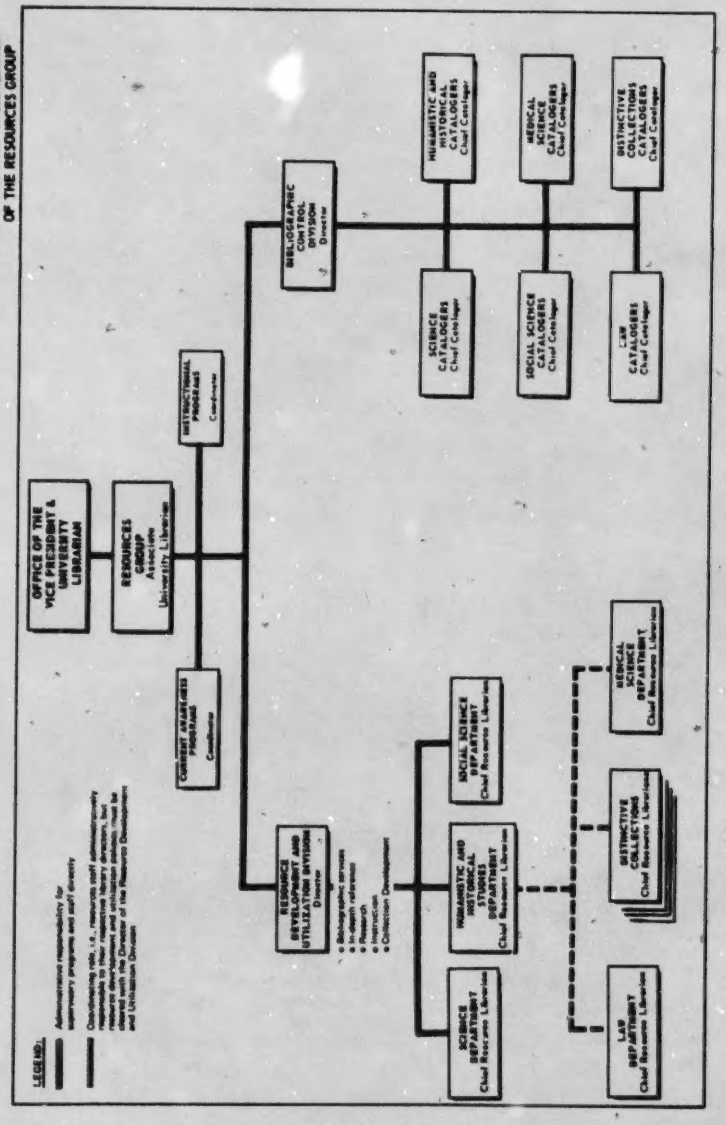
In some respects, the proposal to establish a Resources Group parallels twentieth century university practice in Germany where, under the *Referatsystem*, highly qualified individuals (*Referenten*) provide specialized materials selection, collection building, and reference services.

Exhibit 26 indicates the specific divisions, departments, and offices that should be included in the Resources Group.

The Support Group

A Support Group should be established to provide essential business, analysis, and record production services for all of Columbia's libraries. The Support Group brings together an array of technical, highly specialized support skills into a tightly organized environment aimed at providing highly efficient services. Performance measure-

EXHIBIT 26
COLUMBIA UNIVERSITY
RECOMMENDED ORGANIZATION OF THE RESOURCES GROUP



ments, both qualitative and quantitative, should be emphasized, and nonlibrarian capabilities should be utilized extensively. The basic functions of the Support Group should be to administer:

- Acquisition of materials
- Production of bibliographic access records
- Preparation of library materials for use in service units
- Facilities management and security
- Fiscal control and financial reports
- Preservation services
- Photographic services
- Routine computer services

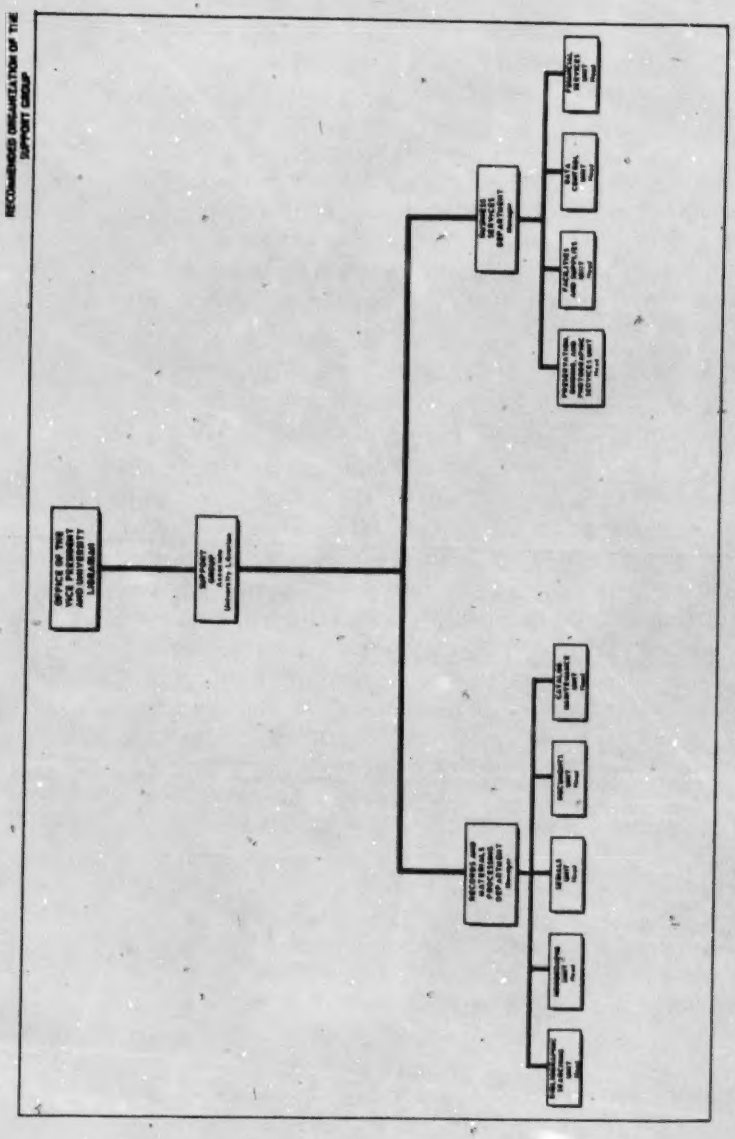
In addition, the Support Group should have overall responsibility for planning in its area, developing support activity policies, and recommending budgets.

The Support Group should be headed by the Associate University Librarian for Support who should act largely as a coordinator of the diverse activities of the group. It should not be expected that he have technical expertise in each activity, but he should be able to evaluate, understand, and manage plans and programs in these several areas.

The Support Group, as shown in Exhibit 27, should comprise two major departments: the Records and Materials Processing Department, and the Business Services Department.

- The *Records and Materials Processing Department* should be responsible for the acquisition and processing of library materials into the system, and for producing bibliographic records, including cataloging with available copy. The department should be organized with two sections based on activity performed and three sections based on form of material, as shown in Exhibit 28.
  - —The *Bibliographic Searching Unit* should perform all types of searching—acquisition, cataloging, foreign language—for all types of materials: monographs, serials, documents, and reports. This unit should act as the switching point to direct incoming orders to their proper processing unit. It should offer the distinct advantages of organization around skills

EXHIBIT 27
COLUMBIA UNIVERSITY
RECOMMENDED ORGANIZATION OF THE SUPPORT GROUP



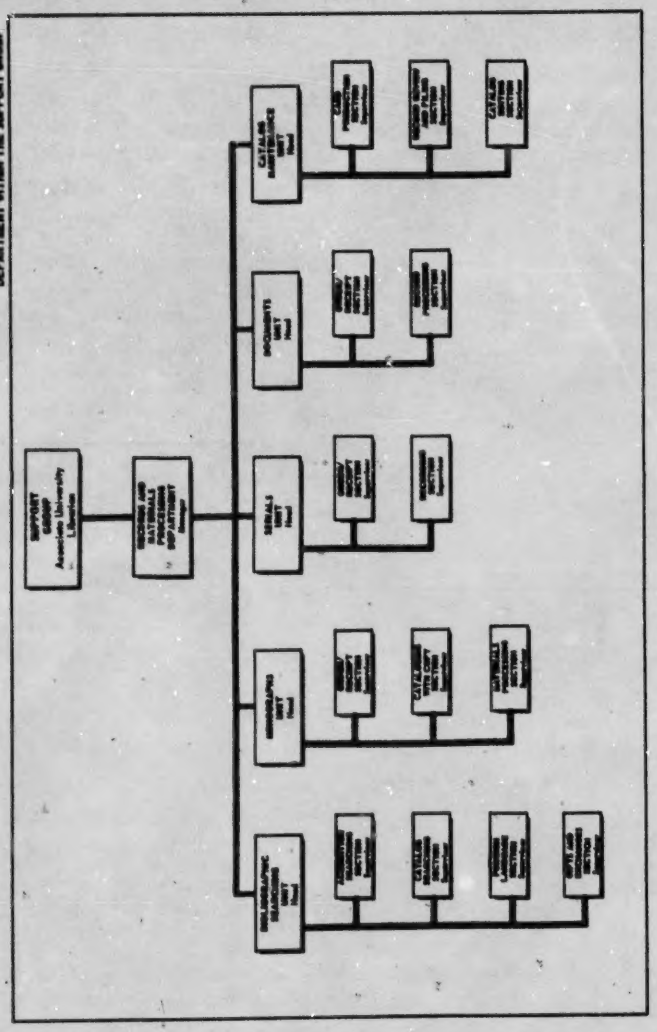


EXHIBIT 29
COLUMBIA UNIVERSITY
RECOMMENDED ORGANIZATION
OF THE RECORDS AND MATERIALS PROCESSING
DEPARTMENT WITHIN THE SUPPORT GROUP

and access to tools. It should also facilitate a one-stop bibliographic search, development of a uniform bibliographic record form to follow the life of the newly acquired item, and reduction of order duplication.

—The *Catalog Maintenance Unit* should receive and monitor all bibliographic records for consistency with Columbia catalog policies and should file, edit, and maintain the catalogs and authority files.

—The *Monographs Unit* should be responsible for the complete cycle of monograph ordering, receiving, processing, preparation of records, and distribution of materials and records. Three subsections are suggested.

—The *Serials Unit* should order, receive, and record serials. It should not do original cataloging, and major emphasis should be on updating central holdings records and processing of materials for binding.

—The *Documents Unit* should order, receive, and distribute documents. It is suggested that cataloging government reports and other documents be replaced with the utilization of available bibliographic systems such as the *Monthly Catalog of U. S. Government Publications*. Documents that are exceptions and require special treatment should be cataloged as monographs by the Resources Group.

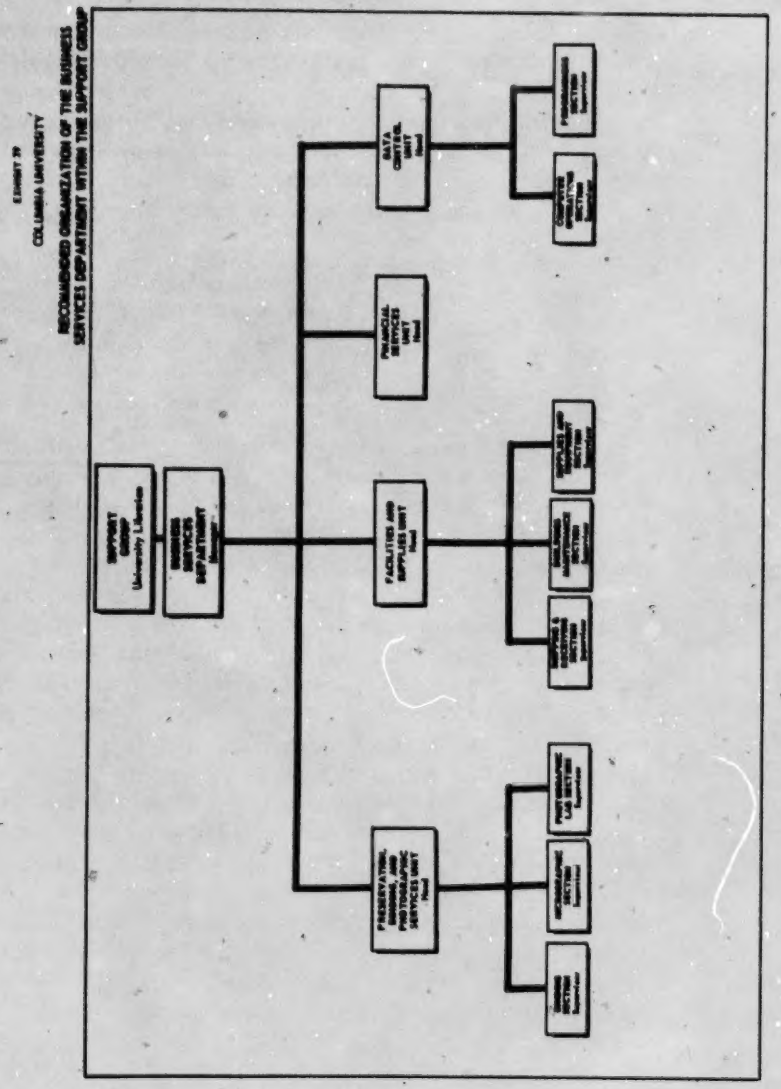
- The *Business Services Department* should be responsible for the several auxiliary services and the technical preservation support required by the libraries. Four units are suggested, as shown in Exhibit 29.

—The *Preservation, Binding, and Photographic Services Unit* should provide technical support in the indicated areas.

—The *Facilities and Supplies Unit* should work closely with University Buildings and Grounds, and should order, maintain, and dispense required library supplies.

—The *Financial Services Unit* should maintain accounts and produce financial reports.

—The *Data Control Unit* should operate the various routine automated systems and provide programming support.



Serious consideration was also given to adding responsibilities for operations research and automated systems design to this Support Group. Locating such functions in this key library unit could well be appropriate in some library systems on the grounds that such important activities are compatible with those of the Support Group and represent important central services that should be available to all other units. However, upon further study compelling arguments were made for placing operations research and systems development in the Planning Office. This office will need to utilize all the technology it can in its planning efforts and is in a strategic position close to library leadership that can be responsive to priority problem areas where new systems might be needed or operations research techniques applied.

Distinctive Collections, Law Library Center, and Medical Science Information Center

The recommended plan of organization also provides for a few very unusual library units to be responsible directly to the Vice President and University Librarian. These units, due to historic factors or to collection strength or distinctiveness, need to be kept administratively separate from the Services and Resources Groups. There are several reasons for this separation. Certain distinctive collections serve not only Columbia, but also—because of their uniqueness and depth—scholars from all over the world, and need to be administered somewhat differently. In the case of rare and primary source materials, preservation problems and access policies are different from those in the subject centers. Users of these collections also tend to be experienced in their library requirements so that fewer first- and second-line services are needed compared with subject-competent, in-depth reference, and other professional resource capabilities. Thus, the full range of activities provided in these library components needs to be administratively consolidated rather than separated into specialized resource and service components.

Funding patterns also differ for distinctive collections, since they depend more on gifts and income from patrons than on general university support. Some degree of separation enhances the status

of these collections and anticipates the possibility of their being ultimately recognized formally and supported as a truly national resource.

The Law Library Center and the Medical Science Information Center should continue to report directly to the University Librarian. Because of the largely technical and specialized nature and use of their collections, these libraries do not lend themselves to incorporation within the services and resources groups as is desirable for most of the system's libraries.

It should be stressed that in all respects, however, these libraries are integral components of the total library system. The significance of this special arrangement is in the nature of the relationship of these libraries with the resources and services groups, not that they are any less fully parts of the whole system. Aggressive efforts should be made to coordinate all facets of the total system, including these special units. Collection development officers, resource librarians, and reference librarians of these units should have formal coordinating, advisory, and communications roles with the Resource Development and Utilization Division.

The directors of these units should also be involved directly and continually in the decision making, policy making, and planning groups of the library system. These professionals possess outstanding capabilities that can be utilized in areas other than their specialty.

The unique units defined in the Columbia context are:

- Law Library Center
- Medical Science Information Center
- University Archival Collections
- Manuscripts and Rare Books Collections
- Architecture Collections
- East Asian Collections

In Exhibit 30, following this page, a plan of internal organization for the Law Library Center is shown. A parallel plan for the Medical Science Information Center is included as Exhibit 31. The distinctive collections, having very small staffs, do not require formal internal plans of organization.

Staffing of each of the centers and collections is proposed in Chapter III.

EXHIBIT 30

COLUMBIA UNIVERSITY

RECOMMENDED ORGANIZATION OF THE LAW LIBRARY CENTER

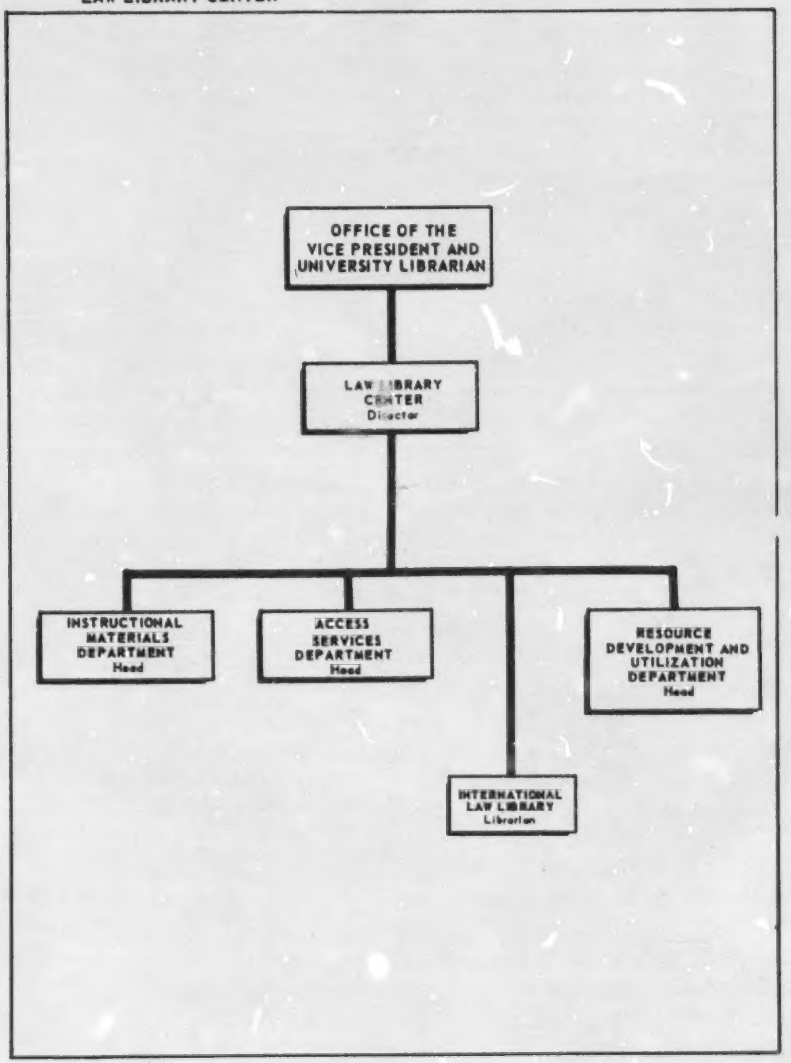
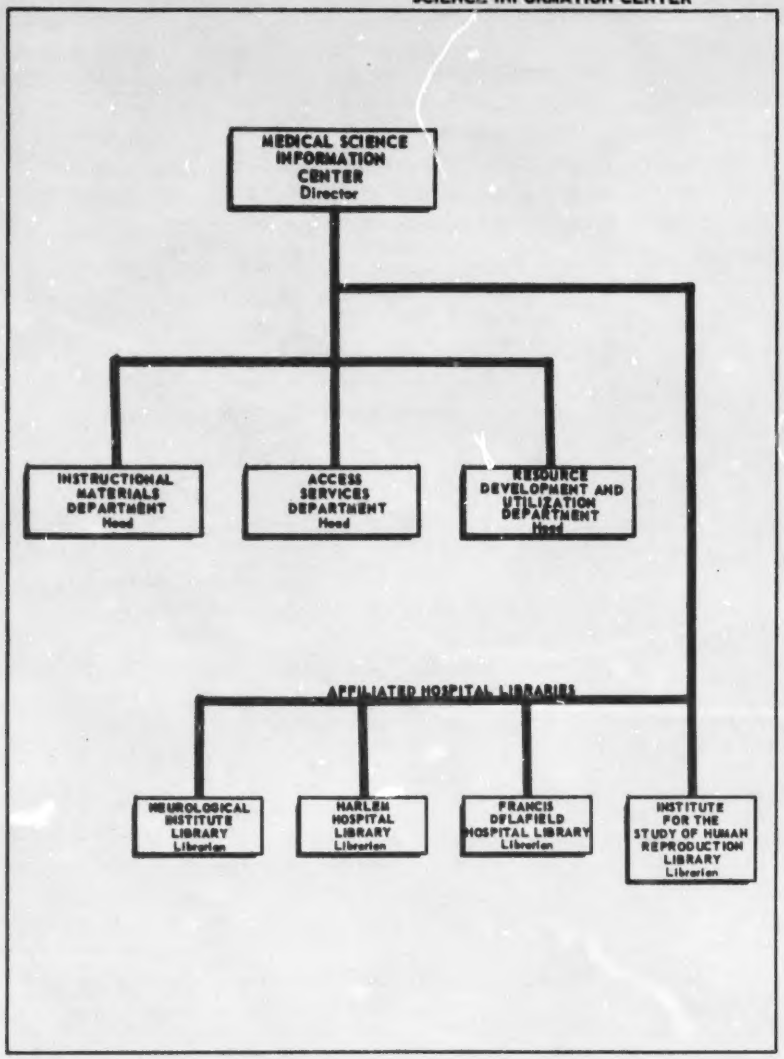


EXHIBIT 31

COLUMBIA UNIVERSITY

RECOMMENDED ORGANIZATION OF THE MEDICAL SCIENCE INFORMATION CENTER



The Personnel Office

The human resources of the libraries are so important that the highest level of attention should be given to the personnel function. The Personnel Office, headed by an Assistant University Librarian, should operate as an integral part of the top management of Columbia's libraries. The specific responsibilities of the Personnel Office of Columbia's libraries should be to:

- Participate in university manpower planning
- Formulate manpower plans for the university libraries and submit them to the Vice President and University Librarian for approval
- Recommend and implement personnel policies within the libraries
- Recommend compensation and other personnel plans for the libraries
- Recommend and implement staff development plans for the libraries' executive, librarian, specialist, and clerical staff
- Recommend and facilitate individual staff members' development plans
- Administer personnel activities
- Maintain relationships with the union

The Assistant University Librarian for Personnel should work directly with the Vice President and University Librarian. He should provide staff assistance to and serve as secretary of the important Staff Development Committee.

The Planning Office

Comprehensive planning is a top management function to which the Vice President and University Librarian should give continuing personal attention and leadership. A Planning Office, headed by an Assistant University Librarian, should assist him in this. The responsibilities assigned to the Planning Office and the Assistant University Librarian for Planning should be to:

- Participate in university planning as the representative of the Vice President and University Librarian

- Coordinate planning for the university libraries by:
  - —Developing and maintaining basic series of data required for planning
  - —Preparing planning guides and schedules for use by all library units
  - —Counseling and assisting library unit heads engaged in planning
  - —Integrating plans formulated by library units
- Formulate and control budgets by:
  - —Coordinating the preparation of budget requests in accordance with university directives and guidelines
  - —Providing library plans and guidelines needed to prepare budget requests
  - —Integrating budget requests formulated by units
  - —Advising and assisting the Vice President and University Librarian in preparing and submitting budget requests for the libraries
  - —Reviewing budget progress and advising the Vice President and University Librarian on budget performance
- Coordinate the formulation of policies and maintenance of policy manuals
- Participate in regional and national planning for library coordination and cooperation
- Formulate reports and applications for grants and contracts for funding agencies

In addition, the Planning Office should be responsible for overseeing library research and analysis. Specifically it should be responsible for applying (1) computer and automation technology to the library system and (2) specialized management expertise to library problems. These activities have intrinsic importance for effective planning. Moreover, as costly developmental expenditures can be involved it is important that these activities be placed close to top library leadership. The addition of these functions can be time consuming and distract the energies of the Planning Office unless adequate safeguards are made. Thus, the library should be prepared to add a staff position in the Planning Office to manage these functions in order that the Planning Officer's attention to the ongoing problems of planning can be assured.

The Planning Office will require a small staff. Hence, no internal chart of organization is required.

THE TOP MANAGEMENT TEAM

The Vice President and University Librarian should provide executive direction and professional leadership to Columbia's libraries. The heads of the five major units should work closely with him on a "professional partnership" basis as the libraries' top management team. These key executives should share the same library philosophies and objectives. Confidence and communication among them should be extremely high. They should share a feeling of total responsibility for the effectiveness and the problems of Columbia libraries.

The top management team should meet as a group at least weekly. There should be daily communication between the Vice President and University Librarian and each of the other five top executives. Each of the five should have easy access to him. There should be frequent communication—at least two or three times a week—between and among each of the five top executives.

CLOSE WORKING RELATIONSHIPS

A research library must operate as a unified whole in conducting its total work even though it needs to be organized in manageable units to carry on activities on a day-to-day basis. It should therefore be recognized that under the recommended plan of overall organization, the six major units, including the Office of the Vice President and University Librarian, are mutually interdependent and should work together closely and cooperatively.

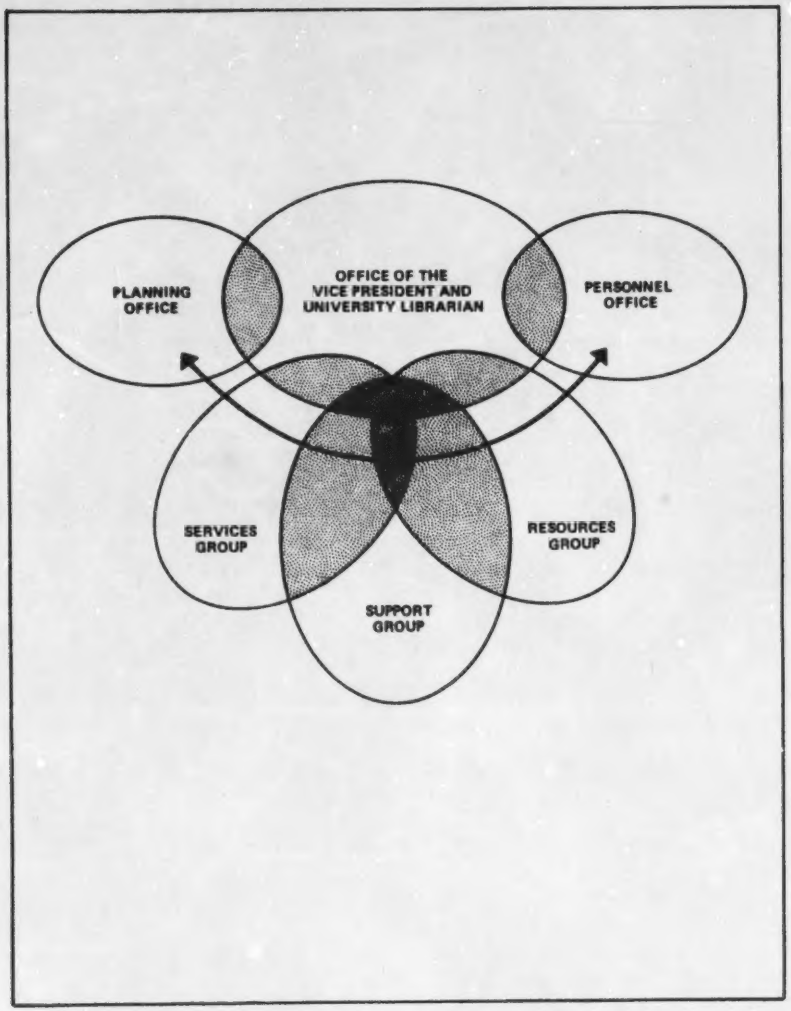
Exhibit 32 shows graphically the mutual interdependence of the six major units. It indicates that:

- There is a substantial interdependence of the Office of the

EXHIBIT 32

COLUMBIA UNIVERSITY

RECOMMENDED RELATIONSHIPS AMONG MAJOR UNITS



Vice President and University Librarian and each of the other five units individually as well as between the Office of the Vice President and two or more of the other units at the same time

- There is substantial interdependence among the three major operating groups: the Services Group, the Resources Group, and the Support Group.
- The two principal staff offices—the Planning Office and the Personnel Office—are, in effect, part of the Office of the Vice President and University Librarian. They relate directly to each other and to the three groups.

Close working relationships should be developed, as proposed in Chapter IV, in planning, policy formulation, budget formulation, working communication, and staff development.

Chapter III, which follows, presents recommendations on how the plan of organization should be staffed. Chapter IV then suggests approaches for making the plan of organization effective in carrying out management and professional activities.

JOHNS HOPKINS UNIVERSITY

ORGANIZATION COMMITTEE

REPORT

Shirley Baker
Pamela Bluh
John Dean
Betsy Decker
Larry Murdock

September 16, 1977

INTRODUCTION

At the beginning of July 1977, Librarian David Stam appointed a committee to prepare a plan for organizational change in the Library based upon the work of the MRAP task forces on Organization and General Management. The committee received the following charge:

> to describe, analyze, and if appropriate, make recommendations on:
>
> - the roles and responsibilities of the Librarian, Associate Librarian, and Executive Committee
>
> - the relationship of the Librarian, Associate Librarian, and Executive Committee to University administration and academic councils
>
> - the organizational structure of the Library's formal units and programs
>
> - the functions and responsibilities of each unit and their lines of reporting
>
> - mechanisms for changing the organizational structure

Included in this task has been the examination of the existing administrative structure as well as alternatives to that structure. Recommendations for a structure most suitable for the Eisenhower Library, as well as provisional changes leading toward that idea are also made.

The first step in the procedure was to review and discuss the recommendations dealing with these topics in the MRAP report with members of the MRAP task forces. The goals and objectives developed for all the Library's units were studied and related to the functions of these units as stated in the MRAP report, and an update on changes in the organization and on external influences on the organization during the past year was prepared. Additional aid and directional advice was given to the committee by Duane Webster of ARL, who had worked closely with the Library on the MRAP report.

At the outset, the committee agreed on some basic criteria by which the recommendations for organizational change were to be developed. The organization should:

- be responsive to change
- manage its resources effectively
- relate to institutional objectives
- be able to evaluate itself

- be simple, yet flexible in structure, allowing for institutional and individual growth

- clearly define responsibilities and accountability

METHODOLOGY

The organizational study of the Library was initiated by a review of the Library's current functions. This was done in two ways: by defining the functions of the Library's departments on the basis of the unit goals and objectives which were drafted in June 1977 and by developing a list of functions divided into six broad categories of library operations. The information gathered from these two approaches was combined and expanded by the task force into a single list of the Library's functions, which were arranged into six major categories: stock control; bibliographic services; reader information; technical support; office/administration; and building maintenance.

Each member of the task force was assigned to study and report on the organizational structure of a research library of comparable size. In this way additional insights into library organizational structure could be obtained.

As a result, a basic organizational chart of library functions was developed with three divisions: Reader Services, Bibliographic Services; and Support Services. These divisions were a combination of the six categories which had been outlined earlier. It became clear at this point that several key points, which were desirable in the organization, had evolved, and would be incorporated into the organizational options which were being developed. These points are:

- division heads report directly to the Director of the Library

- collection development will continue to be handled as a task force, with library-wide participation

- circulation shall be a unit within a division, rather than a division itself

- reference functions shall be centralized and consolidated

With these points in mind, three basic options for organizational change were formulated. In one option, public contact was shared by all divisions. In a second, public contact was centralized in one division, while in a third, a combination of the other two was presented.

These three preliminary options were discussed with the Librarian at the beginning of September. On the basis of the discussion at that meeting, the task force refined the three options and developed two variations. These two options are described in the following report, with comments on how they differ from the existing structure. Descriptions for each position, or unit, in each option have also been prepared.

DESCRIPTION

The organizational structure of both Options 1 and 2 is a three-divisional arrangement which is straightforward yet strong in its simplicity. The two staff officers [Budget/Personnel Officer and Planning Librarian/Deputy Director] and the three division heads [Reader Services Librarian, Bibliographic Services Librarian, Support Services Librarian] report to the Director of the Library. Individually the members of this administrative group are responsible for the day-to-day operations of the Library while collectively they form the Director's advisory group. Each division has a clearly defined role and is responsible for specific aspects of the Library's work.

The administrative officers form a forceful and effective advisory unit and they are supported by a core of middle management personnel who are in a position to play a critical role in dealing with the operational issues facing the Library. The span of control is narrower than under the existing structure, but provides greater opportunities for expansion or contraction as needs dictate. A rational framework for constructive change has been devised with clearly delineated management levels. Responsibilities are stated in positive terms and create an environment conducive to institutional and individual growth.

The responsibility for collection development, shared as it is at present by a cadre of Collection Development Librarians from all divisions in the Library, is most valuable, and should be further developed. The Information Desk program, in which staff from all segments of the Library participate, has been beneficial, both in terms of staff development and public service. Whatever organizational restructuring takes place, this program should be continued.

Option 1

Option 1 represents the functional approach to the question of change within the Library. In this structure, the divisions are of similar size and the responsibility for serving the public is shared equally by each. The structure capitalizes on the Library's goals and objectives and gives a large number of staff members in all areas the opportunity to work towards fulfilling these goals. Service to the public is clearly a crucial factor in the Library's operations and the fact that service may be given by staff in all three divisions is important, both in terms of realizing the needs of the institution, and in broadening the individual work experience. The sense of participation and cooperation which is fostered by this arrangement outweighs any negative considerations which may occur in this context.

In Option 1 several changes from the existing organization are noteworthy. Within the Reader Services Division, several departments have been consolidated under a Reference Coordinator. At the same time, the functions of Information Retrieval and Information Services have been subsumed as part of the responsibilities of each individual reporting to the Reference Coordinator. This structure should strengthen the reference units and provide the staff with room to grow.

The present Technical Services Division is re-named Bibliographic Services Division, characterizing more accurately the nature of the work carried out in

this area. The addition of the Inter-Library Loan Department and the Periodicals Rooms to the division has been recommended because their functions are most closely allied with traditional technical responsibilities. In addition, they provide several new public service contact points for this division, which is in keeping with the rationale for Option 1.

A new division, Support Services, assumes the responsibility for all the supporting functions of the Library. Centralized in this one area are all the activities related to control over the collections, including admissions, circulation, and stack control. By grouping these functions in this way, problems can be dealt with easily and expeditiously without crossing divisional lines.

Option 2

At the divisional level and above, Option 2 is practically identical to Option 1 and provides the same advantages. In the distribution of functions among the three divisions, Option 2 represents a more traditional approach to library organization. Services to users are concentrated in the Reader Services Division, the acquisition and preparation of materials for use in the Bibliographic Services Division, and the in-house services to all library departments are clustered in the Support Services Division.

The responsibilities of the Reader Services Division have been broadened in Option 2 by the addition of units functionally related to divisional activities. This grouping of similar functions allows for better management of resources within the division. Bibliographic Services maintains its current dimensions in Option 2 but is reorganized internally to clearly identify accountability and allow for growth and change. The new division, Support Services, consists of those units which provide behind the scenes support for the internal operations of the Library. The compactness of this division as described in Option 2 and its freedom from responsibility for direct services to users allows for growth in and concentration on three areas of future concern: preservation, security, and remote storage.

A complete description of each position or unit, including a brief summary of responsibilities and a statement of rationale may be found at the end of the narrative.

Rationale for Recommendations

In addition to the four major concerns just discussed, there is a basic organizational problem. The present organization of the University of Washington Libraries has been developed largely to administer operating units with librarians responsible for a variety of academic as well as administrative and operational functions. As a result of this diversified activity in the Libraries, professional efforts are spread very thin, and both management expertise and specialized efforts to meet the needs of the various user groups are generally deficient. Unless there is recognition that the Libraries are engaged in several types of functions, and they are reorganized to meet the separate and distinct demands, librarians will continue to be burdened with administrative and operational functions and unable to give sufficient time to the planning and implementation of academic programs.

It would seem appropriate then to group together those functions requiring similar kinds of skills, so that individuals singly and in groups could better concentrate their efforts and develop their skills. One such grouping would be the association of all functions requiring a specialized knowledge of particular user needs and the peculiarities of the information sources required. Thus collection development and reference and retrieval functions could be more closely integrated and focused on the needs of the student or faculty member doing research in mathematics, or on the quite different needs of an unsophisticated enrollee in a freshman history course.

A librarian concentrating in one of these areas does not require nor have time to develop the quite different knowledge and skills appropriate for the management of processes. Such skills are required by individuals who manage the operations involved in acquisition, cataloging and circulation of materials which lend themselves to systematic analysis and routines. Those units which are primarily engaged in these kinds of activities, or units which exist to deal with specialized formats of materials rather than subjects, could thus be associated to focus on the problems of handling materials. Efforts must begin to systematize these "business" type functions in which every unit is engaged to varying degrees, in order to avoid the duplication of effort which now exists, and thus make better use of the Libraries' manpower. Some system-wide responsibility has already been assigned to some units, such as the Circulation Division and the Interlibrary Loan Section. The scope of these efforts should be extended to other areas, e.g., training of staff in filing, circulation procedures, establishing files and records. This would provide not only a better management of activities which can be systematized, but also a more flexible and interchangeable staff. In addition, more differentiation of function is required within all but the smallest units, freeing individuals to develop either academic or managerial skills.

There are certain advantages in a highly centralized system whereby resources can be coordinatively developed, minimizing overlap and duplication. It is certainly desirable to preserve that degree of centralization which exists in the Libraries, while recognizing that there are some distinctive units. Most of the units of the University of Washington Libraries are funded by the same budgets and lend themselves well to a functional reorganization. Two units, the Health Sciences Library and the Archives Division, have separate budgets and reflect special University priorities. These units may not be as readily incorporated in a functional reorganization, but they should have formal coordinating and communication roles which will provide for their being directly involved in and affected by the planning and decision-making groups of the library system.

Many of the technical and administrative support skills required for the management of the Libraries can be assumed by staff offices reporting to the Director and available to everyone in the system. Such offices would assume centralized staff responsibility in such areas as data-gathering, planning, and personnel administration. They would be advisory, contributing to policy formulation through the Director's utilization of their expertise.

Because of the impossibility of neatly and completely categorizing and separating all functions, there must be strong lateral relationships and communication among all units and groups. For example, there should be provision for indivduals to be associated with a primary group or unit, such as the Catalog Division, and with one of the subject groups for which she/he catalogs. In addition, individuals associated with a unit such as the Government Documents Center, whose collections and services are highly specialized and cross all subject areas and user groups, should be considered system-wide resource persons in the establishment of collections, programs and services. Although the Libraries are organized in units to carry on day-to-day operations, the interdependence of the units and the necessity for working closely and cooperatively must be recognized in order for the system to function as a unified whole.

Effective coordination of efforts is also required. Persons in an organization cannot coordinate themselves no matter how much they may cooperate. One individual has to assume the responsibility for coordination at any given level in the organization. In Dynamic Administration, the Collected Papers of Mary Parker Follet, the concept is expressed in this fashion:

> It seems to me that the first test of business administration, of industrial organization, should be whether you have a business with all its parts coordinated, so moving together in their closely knit and adjusting activities, so linking, interlocking, interrelating, that they make a working unit, that is, not a congeries of separate pieces, but what I have called a functional whole or integrative unity.

Effective coordination, therefore, with all of its dynamic components, becomes an essential element in the rationale for the recommendations submitted in this report. Coordination is defined by D. E. McFarland as "the process whereby an executive develops an orderly pattern of group effort among his subordinates and secures unity of action in the pursuit of common purposes. Translated into library terminology, this implies that the library administration must assume the top level of responsibility for coordination, assisted by sub-coordinators; that library functions and activities must be organized for an "orderly pattern"; and that "group effort" and "unity of action" must be matters taken seriously and implemented via staff participation and decision-making on a broad basis.

It is recognized that problems of coordination stem from two main sources—the number and complexity of functions and activities and the specialization of efforts. Functions must be defined and authority and responsibility must be clarified. Specialized activities must be coordinated into an integrated whole. No one function can be viewed as an entity in itself, unrelated to others. Functions with some similarity of activity and purpose can be coordinated laterally first, then those with greater differences and eventually even those with potentially divergent activities must be integrated and coordinated by top level administration to create the "functional whole" directed toward the overall library objectives.

As was stated earlier, the desire for and necessity of broader staff participation in decision-making influence this discussion of organization. As was noted in Chapter X, neither Ad Con members nor other staff members are satisfied with the way in which Ad Con functions. Among the reasons for dissatisfaction cited by staff members are the lack of balance, the lack of accountability, and the closed, fixed nature of the membership of Ad Con. Many of these problems are also evident at other management levels of the Libraries. Harlan Cleveland states that organizations which will get things done in the future

> will be systems -- interlaced webs of tension in which control is loose, power diffused, and centers of decision plural, (and that decision-making) will become an increasingly intricate process of multi-lateral brokerage both inside and outside the organization.

For the most effective functioning of the Libraries it is essential to tap a broad base of interests and actively involve staff members in the planning, policy formulation and decision-making of the Libraries. As Ordway Tead states: "Communication is best achieved where the representatives of functional groups which are directly affected by or are involved in carrying out new policies are parties to the decision-reaching process."

Decision-making processes must be flexible as well as open. Although there is a tendency in all organizations which promotes decision-making at the top, decisions can be appropriately made at all levels of the organization. Not all decisions need to go to the top group. Furthermore, this group, if broad enough to be representative of a wide range of interests, will require subgroups to engage in some of the initial processes of formulating proposals for consideration by the larger group.

The mode of decision-making must also be flexible. Different activities require different types of management. There are some activities which require a collegial mode with negotiation and consensus within a given framework. Other activities are not conducted in this manner, but are directed and controlled, and lend themselves to the establishment of routine procedures and quantifiable measures. Individuals may be engaged in both kinds of activities no matter how their unit is related to others in the organization. The various units of the Libraries, as well as the activities within these units, should be organized and managed in the appropriate mode.

These are the concepts — the provision for a more open forum for decision-making, and the organization of activities by functions with appropriate management and effective coordination of these functions -- on which the recommendations are based. This is not a leap into the unknown. Some of the proposals formalize patterns which already exist in the informal organization of the Libraries. In any case, the fundamental recommendations which follow are considered crucial to the more effective functioning of the Libraries. Following the specific recommendations is a proposal of one way in which the recommendations might be implemented.

Recommendations

"A gentleman who had been very unhappy in marriage, married immediately after his wife died; Johnson said, it was the triumph of hope over experience."

Boswell's Life of Samuel Johnson

I. The Libraries should adopt an organization based on the association of functions requiring similar focus with provision for effective communication and coordination.

A. The function of collection development should be united with research and reference programs offered directly to users. These functions should be coordinated in terms of the needs of particular user groups by broad subject area and by level of sophistication. (These groups are hereafter called "academic groups.")

B. Those functions which focus on the handling of materials - acquisitions, establishment of bibliographic control and circulation services - should be united. These functions should be systematized and coordinated on a system-wide basis. (These groups are hereafter called "materials groups.")

C. Those units with special status because of University priorities and separate budgets, should retain their status but special efforts should be made to integrate their functions with those of the rest of the library system wherever possible.

D. The technical and specialized support skills necessary to the management of the Libraries should be organized in staff positions reporting to the Director. The staff offices would not establish policy but would be advisory, contributing to policy formation through the Director's utilization of their expertise. Adequate support staff should be made available to each of these staff offices.

E. There should be provision for strong lateral relationships and communication among the various academic and materials groups.

F. A detailed organization description should be prepared indicating for each unit and group, their goals and objectives, working functions, reports, performance and evaluative criteria, and key working relationships. The description of an individual's unit and a new organization chart should be distributed to the present staff and to all new staff. (See excerpts from "Detailed Organization Description of the Columbia University Libraries" in Appendix F.)

G. In order to ensure flexibility in leadership and coordination, appointments to middle managemnt positions should be for renewable terms with consideration given to making appointments to top management positions on the same basis in the future.

II. Decision-making in the Libraries should be more open with more persons involved in the process and with decision-makers more accountable to the rest of the staff. The level and mode of decision-making should be appropriate to the kind of decision being made.

A. The locus of administrative decision-making should be shifted from Ad Con to a broader group incorporating library administrators, middle management representatives and staff association representatives. Members of this group should consider themselves accountable to the rest of the staff.

B. Standing advisory subgroups of the major decision-making body should be established to work in specific areas, such as planning/budgeting and staff development. The exact composition of the subgroups might vary according to available expertise and interest, but should include members from both the major decision-making body and the staff at large.

1. The subgroups will prepare position papers, statements of alternatives and proposals for the major group with the assistance of the appropriate administrative support staff officers.

2. When time constraints or protection of individual privacy dictate, the Director may make decisions in consultation with the appropriate subgroup together with the other library administrators without prior review by the major decision-making group. In such cases, the Director and the members of the subgroup will subsequently report to the major decision-making group the nature of the constraints and, where possible, the decision and reasons leading to it.

3. A special subgroup, consisting of the Libraries' administrators and non-administrative members of the major decision-making group, who are elected annually by the full membership of that group, should be established. This group should be convened only in cases of emergency, when the Director must consult with a small group on a topic not within the scope of any of the other standing subgroups and for which there is no other avenue for decision-making. As is true of other subgroups, the accountability of this group flows to the major decision-making group and all of their decisions should be subject to the earliest possible review.

C. One subgroup should be established to be responsible for monitoring the establishment and functioning of committees and the review of subsequent reports. The initial charge to this subgroup should include a time-frame whereby existing groups and committees would be reviewed for possible disbandment or linkage with other groups. This subgroup should also be charged with seeking coordination of administrative groups with ALUW and LSA councils and committees.

D. The same spirit of openness and accountability embodied in the preceding recommendations should be incorporated in decision-making in all units and groups of the Libraries.

III. The Libraries should be so placed in the University organization as to facilitate the execution of their responsibilities.

A. Further study should be undertaken to determine the best placement of the Director in the University hierarchy.

B. During the next two years there should be an investigation and consideration of the feasibility of administrative consolidation of the University information services.

C. The Libraries and librarians should seek aggressively to attain voting rank in the Faculty Senate.

A Proposal for Reorganization of the University of Washington Libraries

This is a proposed reorganization which exemplifies how the elements in the above recommendations could be implemented. The arrangement of this section follows that of the preceding section, relating these examples to the recommendations.

I. The Libraries should adopt an organization based on the association of functions requiring similar focus with provision for effective communication and coordination.

A. Reporting in a line relationship to the Director should be an Associate Director of Libraries for Academic Programs, Collections, and Services (responsible for coordination of Suzzallo Reference Administration and four academic groups: Humanities Research, Social Sciences Research, Science Research, and Undergraduate Studies).

B. Reporting in a line relationship to the Director should be an Associate Director of Libraries for Library Materials (responsible for three materials groups: Materials Processing, Materials Circulation and Specialized Materials).

C. Reporting in a line relationship to the Director should be:

1. The Assistant Director of Libraries for Health Sciences.
2. The University Archivist.

D. Reporting in a staff relationship to the Director should be:

1. A Planning/Budget Officer (responsible for the Planning/Budget Office, which includes the components of planning, budgeting, systems, management information system, and research and development).

2. A Personnel Officer (responsible for the Personnel Office, which includes the components of selection and recruitment, staff development and training, affirmative action program, manpower planning, and appropriate liaison relationships with external organizations).

3. An Assistant to the Director (responsible for public relations both on and off campus and other duties as shall be useful to the Director). Note: In the past, the Special Programs Librarian has had numerous responsibilities including orientation, public relations, special projects for the Director, etc. As the orientation and instruction responsibilities should be properly assigned

to the academic groups, it is proposed that these responsibilities be eliminated from the position description and that the position be retitled Assistant to the Director.

E. Each staff member should be primarily associated with that academic or materials group to which most of her/his responsibilities relate. However, there should be provision for standing or ad hoc membership in another group(s) (e.g., a materials processor, who is also a selector, would meet with the appropriate academic group).

II. Decision-making in the Libraries should be more open with more persons involved in the process and with decision-makers more accountable to the rest of the staff. The level and mode of decision-making should be appropriate to the kind of decision being made.

A. The major policy and decision-making body for the Libraries should be broadened and mechanisms provided for the interchange of information between administrators and staff. It shall be called the Administrative Council.

1. The Administrative Council should be composed of:

a. The Director of Libraries and the two Associate Directors. As the personnel under the Director are staff and therefore advisory positions, these persons should be called in as topics demand their expertise.

b. One person from each of the two staff associations, ALUW and LSA, to provide a formal channel of communication between their executive boards and the major policy body, and to provide a means of communication for any staff members not wishing to go through regular administrative channels.

c. One person from each of the distinctive units, Health Sciences and Archives, in order to preserve lines of communication with these components of the total library system.

d. The coordinators from the seven academic and materials groups to transmit ideas from her/his group to the Administrative Council and report back the discussion to her/his group.

(1) Coordinators should be elected by their constituents for renewable term appointments. Only those individuals who are primarily associated with a given group should be eligible for election as coordinator of that group.

(2) The role of a coordinator should be:

a) To coordinate the common goals and objectives of of the units

(i) Coordination of programs and collections among the units for the primary user group

(ii) Coordination of the flow of materials and establishment of bibliographical records

b) To attend meetings and participate in the decision-making of the Administrative Council

c) To hold regular meetings of her/his constituents, reporting discussions of the Administrative Council and soliciting input to the Administrative Council

d) To coordinate with her/his constituents, the programs and the allocation of resources within each group.

As no one member of the Administrative Council truly represents any other member of the staff associations, groups, or distinctive areas, it is incumbent on all staff members to elect/select the person who will best negotiate issues, present ideas and report back to their group. The members of the Administrative Council, therefore, act as individuals within the Council; a vote within Council is not to be considered necessarily a representation of the thinking of one's group. Members will, however, be accountable to their groups.

2. The Administrative Council's functions should be:

   a. To make recommendations for the Director's decisions.

   b. To serve as a communication link among the functional units of the Libraries.

   c. To serve as a forum for presentation and discussion of new ideas and information.

   d. To refer problems to appropriate channels, or, as necessary, assign responsibility to a person or committee to deal with specific tasks.

   e. To be liaison members on key library committees.

B. There should be subgroups of the Administrative Council.

   1. These subgroups should be established recognizing prior recommendations:

      a. Planning/Budgeting Subgroup

      b. Policy Subgroup

      c. Staff Development Subgroup

      d. Director's Advisory Subgroup

      e. Committee on Committees

   2. Charges to each group should define the scope, authority and responsibility, number of members and length of terms.

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